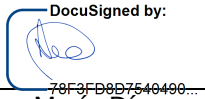
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United Nations Development Programme

Project Document template for projects financed by the various GEF Trust Funds

Project title: *Enabling Activities to Support the ratification of the Agreement under the United Nations Convention on the Law of the Sea on the Conservation and Sustainable Use of Areas Beyond National Jurisdiction (EA-BBNJ)*		
Country(ies): **Dominican Republic**	**Implementing Partner (GEF Executing Entity):** UNDP Dominican Republic	**Execution Modality***:* Direct Implementation Modality
Contributing Outcome (UNSDCF/CPD, RPD, GPD)*:* N/A (project is multi-country)		
UNDP Social and Environmental Screening Category: *Moderate*	**UNDP Gender Marker:** *GEN 2*	
Quantum Award ID: 1387373	**Quantum Project ID: *01004471***	
UNDP PIMS ID number: 10329	**GEF Project ID number: 11820**	
LPAC meeting date: *17 December 2024*		
Last possible date to submit to GEF: N/A (because the MSPs encompassed in this ProDoc are being submitted to the GEF under the one-step MSP procedure)		
Latest possible CEO endorsement date: N/A (because the MSPs encompassed in this ProDoc are being submitted to the GEF under the one-step MSP procedure)		
Project duration in months: 24 months		
Planned start date: 15 August 2025	**Planned completion date: 14 August 2027**	
Expected date of Mid-Term Review (MTR) submission to the GEF: *N/A*	**Expected date of Terminal evaluation (TE) submission to the GEF: 14 February 2028**	
Expected Operational Closure Date: *14 May 2028*	**Expected Financial Closure Date: 14 November *2028***	
Brief project description: The objective of this grant is to support countries in: (a) assessing the extent to which their current legal, policy and institutional framework allows for promptly becoming parties to the Agreement under the United Nations Convention on the Law of the Sea on the Conservation and Sustainable Use of Marine Biological Diversity of Areas beyond National Jurisdiction (BBNJ Agreement) and enables their implementation of the Agreement; (b) carrying out preparatory work in the context of their ratification, approval, acceptance or accession process towards becoming parties to the BBNJ Agreement; and (c) supporting their readiness to implement the BBNJ Agreement.		
FINANCING PLAN		
GEF Trust Fund grant	USD 175,000	
(1) Total Budget administered by UNDP	**USD 175,000**	
(2) Total confirmed co-financing to this project not administered by UNDP	**USD 0**	
(3) Grand-Total Project Financing (1)+(2)	**USD 175,000**	

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SIGNATURES:		
Signature DocuSigned by:  78F3FD8D7540490...	Agreed by UNDP Dominican Republic	Date: 28-Jul-2025
Ana María Díaz Resident Representative		

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FSP	Full Sized Project
GEF	Global Environment Facility
GEFSEC	Global Environment Facility Secretariat
MSP	Medium Sized Project
PIF	Project Identification Form
PIR	GEF Project Implementation Report
POPP	Programme and Operations Policies and Procedures
PPG	Project Preparation Grant
STAP	GEF Scientific Technical Advisory Panel
BPPS NCE	Bureau for Policy and Programme Support, Nature, Climate and Energy

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DEVELOPMENT CHALLENGE

The marine Areas Beyond National Jurisdiction (ABNJ) are those areas of the oceans which don't fall within the sovereignty of any State, thereby encompassing the high seas and the area. In ABNJ no State enjoys the sole responsibility for, among others, the conservation of marine biodiversity and such responsibility is therefore being shared by all
States in the international community in the framework of the United Nations Convention on the Law of the Sea (UNCLOS) and with the support of relevant International Frameworks and Bodies (IFBs).

ABNJ covers roughly 40 per cent of the planet's surface, 64 per cent of the surface area and almost 95 per cent of the volume of the oceans. The complex ecosystems in ABNJ, which include those in the water column and seabed, seamounts, hydrothermal vents, deep-sea trenches, submarine canyons and oceanic ridges, support high biodiversity in some places, particularly in the benthic environment. The oceans and ABNJ in particular given that they account for the majority of the volume of the oceans, provide a range of essential ecosystem services, including climate regulation and carbon sequestration. ABNJ also contribute to significantly[1] to trade, employment, nutrition and food security, with fisheries resources from ABNJ being a particularly important source of animal protein in the diets of many people, especially those in small island developing states (SIDS). However, the marine biodiversity and ecosystems in ABNJ are threatened by multiple anthropogenic threats, including overfishing, illegal, unreported, and unregulated (IUU) fishing, marine and land-based pollution, habitat loss and degradation, and climate change.

The UNCLOS, adopted in 1982, provides the framework for the management of fisheries, mining, and shipping in ABNJ and sets the background for the BBNJ Agreement. Although UNCLOS contains provisions for the conservation and sustainable use of resources under Chapter XII, including the biodiversity of the marine environment, it has been recognized by the international community that such provisions are no longer sufficient to regulate all human activities occurring in ABNJ in a manner that meaningfully protects and ensures the sustainable use of marine biodiversity in ABNJ. Ultimately, this recognition was embodied in the adoption of the BBNJ Agreement on 19 June 2023.

In fact, work on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction (BBNJ) was initiated under the United Nations General Assembly (UNGA) back in 2004 already. The UNGA process, detailed in Council document GEF/C.64/12/Rev.025, culminated in the further resumed fifth session of the Intergovernmental conference on an international legally binding instrument under UNCLOS on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction. Following its adoption, the BBNJ Agreement was opened for signature on 20 September 2023 and will remain open for signature until 20 September 2025. At the time of writing, the agreement had 86 signatories, including 46 countries currently supported by the GEF.

The general objective of the BBNJ Agreement is "to ensure the conservation and sustainable use of marine biological diversity in areas beyond national jurisdiction, through effective implementation of the relevant provisions of the Convention and further international cooperation and coordination, now and in the future" (Article 2). Timely support to national ratification and implementation readiness of the BBNJ Agreement is therefore critical to bring about its rapid entry into force, a process which is not a novelty under the GEF. It is worth recalling that the GEF has already provided national ratification support to developing countries for several Multilateral Environmental

[1] ABNJ is home to a wide range of human activities and interests in ABNJ are set to increase.

- 80% of international goods are transported by ships passing through ABNJ
- 91-93 million tons of fish are caught globally each year
- 95% of international data is carried through undersea cables in ABNJ
- Marine genetic resources have potential applications in pharmaceuticals, cosmetics, food, and other sectors.

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Agreements (MEAs), including the Nagoya Protocol to the Convention on Biological Diversity (CBD) and the Minamata Convention on Mercury. The GEF has also supported some countries, as part of regular projects and programs for the International Waters focal area, in the context of their efforts to join the United Nations Fish Stocks Agreement and the FAO Port State Measures Agreement.

STRATEGY

The BBNJ Agreement provides that "Eligibility for access to funding under this Agreement shall be open to developing States Parties on the basis of need" (Article 52, paragraph 12). Until the BBNJ COP or a relevant preparatory process, if any, provides guidance to the GEF on eligibility criteria to be applied for the purpose of the BBNJ agreement, GEF grants are to be in accordance with eligibility criteria stated in paragraph 9(b) of the GEF-8 Instrument.

The GEF support to ratification and implementation readiness will thus be provided on request, as expressed through a Letter of Endorsement signed by the GEF Operational Focal Point, to developing countries that:

(a) have signed the BBNJ Agreement, or have taken meaningful steps towards becoming a Party to it, as evidenced by a letter from the relevant minister to the head of the BBNJ Secretariat and, in the interim, to the United Nations Division on Oceans and the Law of the Sea (UNDOALOS), and to the CEO and Chairperson of the GEF; and

(b) are eligible for World Bank (IBRD and/or IDA) financing or eligible recipients of UNDP technical assistance through its target for resource assignments from the core (TRAC).

RESULTS AND PARTNERSHIPS

The main objective of the proposed Enabling Activity (EA) is to mirror such experiences and assist, primarily, signatory countries to the BBNJ Agreement in achieving its ratification and creating the enabling conditions for its swift implementation. The EA will support these countries in complying with the requirement to deposit instruments of ratification, approval, acceptance or accession to the BBNJ Agreement with the Secretary-General of the United Nations. Support at the national level to develop an initial BBNJ assessment, to conduct the ratification process and to guide implementation readiness will be provided as a menu of available options. Recipient countries will select the activities that best meet their specific needs.

Expected Results*:*
The main outcome of the EA will be an initial BBNJ assessments, which will take the form of reports containing, as appropriate to the country: 1) an overview of the country's situation with respect to the conservation and sustainable use of BBNJ and its potential impacts; 2) an overview of the institutions and legal and regulatory frameworks already in place in relation to the BBNJ Agreement; 3) an analysis detailing progress towards ratification, approval, acceptance or accession, including the identification of legal or regulatory gaps that need to be addressed prior to ratification, approval, acceptance or accession; and 4) an analysis of key challenges to ratification, approval, acceptance or accession and future implementation, including priority capacity-building needs, as detected via the overviews required.

Agreement on intellectual property rights and use of the logo on the project's deliverables and disclosure of information**:** To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by

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the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed per relevant policies, notably the UNDP Disclosure Policy[2] and the GEF policy on public involvement[3].

Partnerships: The core partners of the project are national authorities of the participating countries who are responsible for leading issues related to BBNJ. In addition, other stakeholders involved are listed in the specific section.

As there is a global project to coordinate actions around BBNJ, the UN Agencies partnership UNEP, FAO and UNDP will be working in close coordination with UNDOALOS and the GEF.

Private Sector Engagement.

The private sector has a critical role to play in contributing to the swift entry into force and effective implementation of the BBNJ Agreement, including through innovation. In recent years governments have led industry in taking action, through inter-governmental fora such as RFMOs and the IMO, on such issues as bottom-trawling, and shipping across particularly sensitive sea areas. Reinforced by SDG 14 – Life Under Water (and SDG 13 – Climate Action), awareness of the broader importance of the ocean to human well-being as well as the many and cumulative impacts of human activities, including those of the private sector, on the ocean, including ABNJ, has grown rapidly. Corporations and the finance sector are increasingly recognizing their role in addressing impacts of their operations and investments - from overfishing to pollution to GHG emissions. Although there have been some noteworthy innovations, particularly with regard to technology, to date few efforts have focused on shifting paradigms regarding what are acceptable private sector practices in ABNJ.

Risks and Assumptions: The five main risks that the project might face are presented in following table and the UNDP Risk Register is found in Annex 4. The risk analysis was prepared based upon the UNDP Enterprise Risk Management (ERM) Policy and Procedures. Three risks are within the "strategic" risk category, two of them are moderate and one low. Also, there are two low level risks within the "operational" risk category and the "social and environmental" risk category.

Risk	Level	Mitigation measure	Risk appetite
1. Climate Change. [Social and Environmental]	Low	The project could be indirectly affected by climate change risks if countries participating in the project are facing natural disasters and hence have difficulties attending workshops and use capacity building support. Activities such as workshops could also be directly affected by such events and should be planned in areas where the risk is low. The possibilities to achieve the desired outcomes of the BBNJ Agreement when implemented could be threatened by	Cautious. The risk is beyond the means of the project to minimise the likelihood that the risk will occur and/or reduce the impacts from this risk.

[2] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/
[3] See https://www.thegef.org/gef/policies_guidelines

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Risk	Level	Mitigation measure	Risk appetite
		accelerating climate change but this is not considered part of this project.	
2. Political and Governance [Strategic]	Moderate	The project will aim to facilitate for States to become parties to the BBNJ Agreement but is not in a position to directly influence national processes. Still, the project will support capacity building processes and trouble shoot any obstacles and provide guidance materials and opportunities for learning to encourage signature/ratification/accession. It may also encourage cross-sectoral coordination, collaboration and engagement at the national level but ultimately decisions are the prerogative of States.	Open. UNDP prioritizes the development and implementation of its strategy, seeking new and innovative ways to deliver high-value services, programmatic offers, and objectives, expanding, and diversifying its donor and partner pool while learning from any failures and always following its ethical principles.
3. Strategies and Policies [Strategic]	Low	The project will promote policy coherence aiming in particular at targeting the national and local levels associated with the BBNJ Agreement related ratification support and implementation readiness activities. As the BBNJ Agreement was concluded within the framework of the UNCLOS, it is aligned with related existing strategies and policies by countries and should not pose a risk to regard to policy coherence, and neither should the project.	Open. UNDP prioritizes the development and implementation of its strategy, seeking new and innovative ways to deliver high-value services, programmatic offers, and objectives, expanding, and diversifying its donor and partner pool while learning from any failures and always following its ethical principles.
4. Technical design of project or program. [Operational]	Low	The project was designed in a very short time period and the design phase could have overlooked some dimensions. This will be compensated by allowing for a certain level of flexibility and adaptative management in the execution of the project. However, the project formulation followed the initial guidance provided by GEF and should hence be aligned to existing priorities.	Open. UNDP prioritizes the development and implementation of its strategy, seeking new and innovative ways to deliver high-value services, programmatic offers, and objectives, expanding, and diversifying its donor and partner pool while learning from any failures and always following its ethical principles.
5. Stakeholder Engagement. [Strategic]	Moderate	Due to the short fast track design phase, stakeholder consultations and engagement were not as extensive as they could have been. While preliminary consultations were carried out, engagement will continue during project implementation.	Open. UNDP prioritizes the development and implementation of its strategy, seeking new and innovative ways to deliver high-value services, programmatic offers, and objectives, expanding, and diversifying its donor and partner pool while learning from any failures and always following its ethical principles.

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Risks from the project

In compliance of the UNDP Social and Environmental Standards (SES), the Social and Environmental Screening Procedure (SESP) was applied (Annex 3) to identify the potential risks that may be generated by certain actions to be carried out by the project during the implementation stage. The process applied and the results obtained are summarised in the following paragraphs.

Project was screened against the SES principles and standards. The risk significance (i.e., low, moderate, substantial, and high) was evaluated by estimating the level of impact and likelihood of occurrence of each risk using the five-point scale established in the SESP, taking into consideration the scenario in which the project will be implemented. Management measures were outlined to eliminate, reduce, or mitigate the impacts of each risk.

The results of the analysis are presented in Annex 3, including a description of the 3 social and environmental risks:

- Risk 1: Participating governments, may not have the capacity to ensure equitable representation and involvement of diverse stakeholder groups, especially Indigenous Peoples and Local Communities, preventing them from sharing their views, knowledge and opinions on the implementation of the BBNJ Agreement and increasing conflicts to project-affected stakeholders. (Moderate)

- Risk 2: Stakeholders groups, especially Indigenous People and Local Communities and groups from other under-represented sectors, may face exclusion from decision making giving rise to grievances or objections which may not be taken into account during project implementation. (Moderate)

- Risk 3: The role of women in accessing environmental goods and services and the differentiated impact on them may not be adequately considered in the process of developing the different required assessments, consultation, and participation processes may perpetuate existing discriminations against women that may result from future interventions that are included in the national BBNJ assessment report. (Moderate)

- Risk 4: The national BBNJ assessment report may not provide adequate consideration to potential indirect risks associated with the ratification of the BBNJ Agreement in regard to impact on indigenous peoples (Standard 6) (Low)

- Risk 5: The national BBNJ assessment report may not provide adequate consideration to potential indirect risks associated with the ratification of the BBNJ Agreement in regard to impact on community health and Safety and on Labor and Working conditions (Standard 7) (Low)

In addition to the previous, it is important to indicate that a stand-alone ESMF has not been produced at this stage, because:

(i) This is an ENABLING ACTIVITY in which full and meaningful participation of stakeholders, gender-inclusion and accountability to stakeholders (which trigger UNDP's Programming Principles) are the main identified SES risks, with on overall **Moderate** risk rating; under the UNDP SES Policy an ESMF is not a *requirement* for a project of this type, with few risks and no on-the ground activities (or no direct activities with on the ground footprints);

(ii) Steps and procedures for delivery of the key SES risk management instruments for the identified risks (country-specific stakeholder engagement strategies; national assessments - including identification of potential

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downstream impacts and measures for assessing and managing them) are already integrated into the project framework, as follows:

Under Output 1.1: An initial BBNJ Assessment (which will include, inter alia, an overview of each country context and the prevailing socio-economic and environmental issues relevant to implementation of the BBNJ and readiness to implement its provisions - which may include capacity and instruments for addressing any indirect, downstream impacts)

Under Output 1.2: (a) In each country, a National Assessment , which will include detailed mapping of stakeholders and indigenous and traditional); (b) a legal, policy, regulatory and institutional capacity gap analysis for implementation of the BBNJ, and also including considerations for managing impacts associated with fair and equitable access and benefit sharing from use of marine genetic resources; gender equality and women's empowerment; inclusion and protection of traditional and indigenous knowledge; and environmental impacts.

Under Output 2.1: a Gender-responsive M&E plan.

If these analyses identify that implementation of the BBNJ may result indirectly in adverse social or environmental impacts when the agreements are implemented, then the assessment reports should include an Environmental and Social Management Framework that will outline steps and procedures for further risk screening, assessment and mitigation, but this cannot be done ahead of the analyses being carried out.

At the project Inception workshop, the SESP and any other safeguards requirements will be revisited and the project's Grievance Redress Mechanism will be operationalized. Further, a country-specific roadmap for implementing the required SES actions (including those integrated into the delivery of project outputs) will be developed at Inception, detailing roles and responsibilities, plan for delivery (including budget) and reporting requirements, as applicable to Umbrella EA projects of this type and scale.

Stakeholder engagement: Taking into account the fast-track project development process, a stakeholder mapping and the different levels of engagement will be prepared at the beginning of the implementation of the project by each country.

The main stakeholders related to BBNJ per country could involve autorities on environment, fisheries, foreign affairs and others which will be involved/engaged during the EA implementation. Additionally, academia, IFIs, private sector, CSOs and others will be included.

South-South and Triangular Cooperation (SSC/TrC): The present project is based on south-south cooperation. It will bring the voice of countries to global and regional fora, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on BBNJ. The project will provide regional cooperation opportunities with countries implementing initiatives on BBNJ in geopolitical, social and environmental contexts relevant to the proposed project at regional and global level.

Gender equality and Women's Empowerment: is an important aspect of the BBNJ agreement. UNDP will ensure that key dimensions of gender are integrated into the project, including improving understanding of the gender-related linkages with marine Areas Beyond National Jurisdiction (ABNJs) to support more sustainable outcomes; understanding the steps related to gender equality and women's empowerment; identifying opportunities for women that

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make use of their specific knowledge; strengthening efforts to involve women in the ratification and implementation of the BBNJ Agreement; and ensuring that the project monitors and regularly reports on gender-specific results/gender dimensions of the project.

During the implementation of the EA, countries will ensure that its implementation benefits all people, including women, equally and equitably. The EA project will address gender mainstreaming by:

- Ensure that decision-making processes are inclusive and representative of diverse perspectives.
- Conduct regular gender analyses and monitoring to identify potential impacts on women's lives and livelihoods in all sea-related activities.
- Develop capacity building and training programs that prioritize gender equality and women's empowerment.
- Encourage inclusive stakeholder engagement and participation from diverse groups.
- Address intersectional issues that affect women's lives.
- Ensure regular monitoring and reports on gender-specific results/gender dimensions.

Knowledge: As a concept, knowledge management is considered the collation, storage, and dissemination of information, best practices, or use of technology relating to promoting sustainable fisheries and biodiversity conservation through reducing impacts, whereas communication activities and materials are used for awareness raising purposes.

Knowledge management is a cross-cutting theme of the project and the majority of its activities relate to compiling, creating and disseminating information and knowledge material and practical tools. Beyond its objective – to foster international cooperation towards the swift entry into force of the BBNJ Agreement and to promote implementation readiness at the national level – project efforts will contribute to the uptake and scaling of impacts by ensuring that lessons learned through the project activities are effectively systematized, fed into relevant knowledge hubs (such as IW:LEARN) and disseminated to target audiences. In doing so, the project will help to fill knowledge gaps at global, regional and national levels and support the creation of knowledge sources that will help improve availability and use of information and knowledge material and practical tools by stakeholders and in turn support better, more informed decision-making in the context of becoming parties to the BBNJ Agreement and fostering implementation readiness.

The approach to knowledge management and communication of the project will be based on the experiences and lessons learned from earlier and related projects, and in collaboration with UNDOALOS. Activities will be aligned with relevant priorities, policies and strategies of GEF, FAO,

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UNEP and UNDP and other partners involved, as well as those of States as expressed through the relevant General Assembly resolutions and the work of the Preparatory Commission established by resolution 78/272. Specific activities related to knowledge management include the development of a digital repository for capacity building and training materials, and available information and knowledge, as well as a 'front office' digital knowledge platform. The project also plans to produce a synthetic report that collects best practices and project lessons.

Innovativeness, Sustainability and Potential for Scaling Up: The project represents a transformative investment as it will accelerate the entering into force of the BBNJ Agreement, which is a major step towards achieving global marine biodiversity conservation. It will further enable cooperation and collaboration as a vehicle for the implementation of the BBNJ Agreement in a complex and fragmented governance context, which will contribute to policy and institutional changes at national level for advancing the creation of positive impact and biodiversity benefits.

The project is innovative as it is funded by the GEF before the BBNJ Agreement has entered into force, capitalizing on lessons learnt from previous and ongoing ratification support processes and initiatives. A more common approach is that States must first become parties to agreements, specifically MEAs, and then they will be entitled to benefit from GEF and funds to strengthen their implementation. The financial resources allocated by the GEF at this pre-entry into force stage will allow enabling the conditions required for an effective implementation of the BBNJ Agreement once it enters into force and lay a ground for scaled up support for its implementation.

Digital Solutions[4]**:** The project will use and take advantage of existent digital platforms, most of the project information will flow through the range of digital platforms of the project partners.

PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

The project will ensure cost efficiency by focusing on key specific actions that maximise change and impact.

Project Management

The EAs will be executed at the national level, using the modalities of implementation selected by each country (see table below). Every Implementing Partner (IP) will host the Project Management Unit (PMU), which will be composed of the Project Manager, Administrative/financial assistant. The project manager will be supervised by a senior level manager at the IP. The Project Manager will oversee all the activities of the project.

[4] *Please see the Guideline "Embedding Digital in Project Design".*

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Nº	Country	IP	Implementation Modality
1	Chile	Division of Environment, Climate Change and Oceans, Ministry of Foreign Affairs	Assisted NIM
2	Ghana	Ministry of Environment, Science, Technology and Innovation (MESTI) with technical support from the Environmental Protection Agency (EPA)	Assisted NIM
3	Philippines	TBD	DIM
4	Uruguay	UNDP Uruguay	DIM
5	Tanzania	National and inter-sectoral Steering Committee led by the Vice-President Office (VPO), Division of Environment	Assisted NIM
6	Dominican Republic	UNDP Dominican Republic	DIM
7	Cabo Verde	Ministry of the Sea	NIM
8	Mexico	UNDP Mexico	DIM
9	Belize	UNDP Belize	DIM

Through the Global/Regional MSP "Global and regional support to the BBNJ Agreement ratification process" (PIMS 10024) FAO, UNEP and UNDP will be able to provide technical assistance to the IPs to enhance States' implementation readiness capacity and share awareness raising and outreach materials on the BBNJ Agreement.

Countries will also be provided with guidance on stakeholder engagement so that indigenous peoples and local communities, women, women's group, gender experts, youth, academia, and other typically marginalized stakeholders are made part of the stakeholder consultation process from the outset.

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PROJECT RESULTS FRAMEWORK

Contribution to the Sustainable Development Goal (s): Goals 1 to 17						
Intended Outcome as stated in the UNSDCF/Country Programme Results and Resource Framework: n/a						
Applicable Output(s) from the UNDP Strategic Plan: This project will contribute to the following signature solution of the UNDP Strategic Plan 2022-2025: Putting nature and the environment at the heart of national economies and planning; helping governments protect, manage and value their natural assets.						
Project title and Quantum Project Number: Enabling Activities to Support the ratification of the Agreement under the United Nations Convention on the Law of the Sea on the Conservation and Sustainable Use of Areas Beyond National Jurisdiction (EA-BBNJ) No. 01004471						
Objective and Outcome Indicators (no more than a total of 20 indicators)	**Data Source**	**Baseline**	**Mid-term Target**	**End of Project Target**	**Data Collection Methods**	**Risks/Assumptions**
Objective and Outcome Indicators[5] (no more than a total of 20 indicators)	**Data Source**	**Baseline[6]**	**Mid-term Target[7]**	**End of Project Target**	**Data Collection Methods[8]**	**Risks/Assumptions**
Project Objective:	*To support countries in: (a) assessing the extent to which their current legal, policy and institutional framework allows for promptly becoming parties to the Agreement under the United Nations Convention on the Law of the Sea on the Conservation and Sustainable Use of Marine Biological Diversity of Areas beyond National Jurisdiction (BBNJ Agreement) and enables their implementation of the Agreement; (b) carrying out preparatory work in the context of their ratification, approval, acceptance or accession process towards becoming parties to the BBNJ Agreement; and (c) supporting their readiness to implement the BBNJ Agreement.*					
	Mandatory Indicator 1: # direct project beneficiaries disaggregated by gender (individual people)[9]		*0*			
Project component 1	Creating the enabling conditions for the Agreement's swift entry into force and initial implementation					
Project Outcome 1 Participating countries are better positioned to ratify the Agreement and	*Indicator 1: number of country reports*			*1 Draft country reports*	*1 Country reports finalized*	

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have implementation readiness							
Outputs to achieve Outcome 1	**Output 1.1** A BBNJ initial assessment conducted and reported for each participating country, which will include, as applicable to the specific context: i. An overview of the country situation with respect to the conservation and sustainable use of BBNJ and potential impact thereon; ii. An overview of the institutions and legislative and regulatory framework already in place in relation to the Agreement; iii. Progress towards ratification, approval, acceptance or accession, including identification of legal or regulatory gaps to be addressed prior to ratification, approval, acceptance or accession; iv. Main challenges to ratification, approval, acceptance or accession and future implementation, including priority capacity building needs. **Output 1.2** Participating countries may select from a menu of options, which best respond to specific needs, for national support to carry out the ratification, approval, acceptance or accession processes and support implementation readiness. These activities may feed into the development of the Output 1.1 BBNJ initial assessment: a. Documented assessment of national situation with respect to the conservation and sustainable use of BBNJ and potential impact thereon (e.g., mapping of relevant stakeholders and activities under the country's jurisdiction or control; of relevant traditional knowledge of Indigenous People and Local communities; inventory of repositories, databases and national research and utilization capacities associated with marine genetic resources in ABNJ). b. National legal, regulatory, and policy gap assessment, and/or governance, institutional and administrative capacity gap assessment, and/or scientific, technical and infrastructure capacity gap assessment for the implementation of the country's obligations under the BBNJ Agreement, including with regards to: i. Notification on activities with respect to marine genetic resources and digital sequence information on marine genetic resources of areas beyond national jurisdiction. ii. The fair and equitable sharing of benefits arising from these activities, including gender equality considerations. iii. Traditional knowledge of Indigenous Peoples and local communities associated with marine genetic resources in areas beyond national jurisdiction. iv. Monitoring of activities with respect to marine genetic resources and digital sequence information on marine genetic resources of areas beyond national jurisdiction.						

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	v. The development of proposals, consultations on and assessment of proposals, and implementation of area-based management tools, including marine protected areas, and related measures. vi. The conduct of environmental impact assessments according to the process established by the BBNJ Agreement, and monitoring and review of impacts of authorized activities. vii. Monitoring of implementation and reporting. c. Drafting national legislation and regulations, including through inclusive and gender-responsive national stakeholder consultation processes, as required by national ratification, approval, acceptance, or accession processes. d. Awareness raising and targeted gender-responsive outreach products on opportunities, rights, and obligations under the Agreement, including within the legislative and executive branches of governments. As appropriate, national implementation readiness strategies, for addressing identified needs and gaps for implementation. e. Other national-level gender-responsive activities/products identified by countries that are demonstrably required to support ratification, approval, acceptance, or accession and/or implementation readiness in a given national context.					
Project component 2	M&E					
Project Outcome 2: Effective project implementation based on adaptive management and lessons learned.	*Indicator 2: 1 inception and programmatic/financial progress reports.*			*1 inception workshop reports and 1 programmatic/financial progress reports.*	*1 programmatic/financial progress reports finalized.*	
Outputs to achieve Outcome 2	**Output 2.1:** A gender-sensitive project M&E system designed and operational					

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MONITORING AND EVALUATION (M&E) PLAN

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP (including guidance on GEF project revisions) and UNDP Evaluation Policy **Each UNDP Country Office is responsible for ensuring full compliance with all UNDP project M&E requirements including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements.**

Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the GEF Monitoring Policy and the GEF Evaluation Policy and other relevant GEF policies[10]. The M&E plan and budget included below will guide the GEF-specific M&E activities to be undertaken by this project.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed – including during the Project Inception Workshop - and will be detailed in the Inception Report.

Minimum project monitoring and reporting requirements as required by the GEF:

Inception Workshop and Report: A project inception workshop will be held within 2 months from the First disbursement date, with the aim to:

a. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
c. Review the results framework and monitoring plan.
d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP and other stakeholders in project-level M&E.
e. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework (where relevant) and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
g. Plan and schedule Project Board meetings and finalize the first-year annual work plan. Finalize the TOR of the Project Board.
h. Formally launch the Project.

Monitoring Plan: The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually, and will be reported in the GEF PIR every year, and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register, will be monitored quarterly.

[10] See https://www.thegef.org/projects-operations/policies-guidelines

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Monitoring Activity							
	Results Monitoring	**Indicators**	**Targets**	**Description of indicators and targets**	**Frequency**	**Responsible for data collection**	**Means of verification**
Track results progress	**Project objective:** *To support countries in: (a) assessing the extent to which their current legal, policy and institutional framework allows for promptly becoming parties to the Agreement under the United Nations Convention on the Law of the Sea on the Conservation and Sustainable Use of Marine Biological Diversity of Areas beyond National Jurisdiction (BBNJ Agreement) and enables their implementation of the Agreement; (b) carrying out preparatory work in the context of their ratification, approval, acceptance or accession process towards becoming parties to the BBNJ Agreement; and*	***Indicator 1*** # direct project beneficiaries disaggregated by gender (individual people)	*Midterm: 150* *End of projects: 150*	Number of persons that participate in activities and meetings (e.g., training, technical assistance) of the project (disaggregated by sex).	Permanent recording giving special emphasis to gender results/dimensions. Annual reporting in progress giving special emphasis to gender results/dimensions.	PMU	Records of all project activities and meetings.

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Monitoring Activity							
	Results Monitoring	**Indicators**	**Targets**	**Description of indicators and targets**	**Frequency**	**Responsible for data collection**	**Means of verification**
	(c) supporting their readiness to implement the BBNJ Agreement.						
	Project Outcome 1 Participating countries are better positioned to ratify the Agreement and have implementation readiness	*Indicator 1: number of country reports prepared by Dominican Republic*	*Midterm: 1 draft country reports* *End of project: 1 country reports finalized*	Number of country reports prepared	Permanent recording giving special emphasis to gender results/dimensions. Annual reporting in progress giving special emphasis to gender results/dimensions.	PMU	Records of all project activities and meetings.
	Project Outcome 2 Effective project implementation based on adaptive management and lessons learned.	*Indicator 2: number of inception and programmatic/financial progress reports.*	*Midterm: 1 inception workshops reports and 1 programmatic/financial progress reports* *End of project: 1 programmatic/financial progress reports finalized*	Number of inception workshop reports prepared. Number of programmatic/financial progress reports prepared	Permanent recording giving special emphasis to gender results/dimensions. Annual reporting in progress giving special emphasis to gender results/dimensions.	PMU	Records of all project activities and meetings.

Monitoring Activity			
	Frequency/Timeframe	**Expected Action**	**Partners (if joint)**
Inception Workshop and Report	Inception Workshop within 2 months of the First Disbursement	As per above description	

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Monitoring Activity			
	Frequency/Timeframe	**Expected Action**	**Partners (if joint)**
Track results progress (see above table for details)	Annually and at mid-point and closure	Slower than expected progress will be addressed by project management.	
Monitor and Manage Risk	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	
Monitor SESP	ongoing		
Supervision Missions	Annually		
Learning and Learning Missions	As needed	Relevant lessons are captured by the project team and used to inform management decisions.	
Annual Project Quality Assurance	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	
Review and Make Course Corrections	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	
Annual GEF Project Implementation Report (PIR)	Annually typically between June-September	Mandatory contribution by Project Team, CO and RTA. Strengths and weaknesses will be reviewed by project management and used to inform decisions to improve project performance	
Project Review (Project Board)	*Annually*	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	

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Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSDCF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders
Independent Terminal Evaluation (TE)	*Not Applicable*	See pertinent information in the project results framework	See pertinent information in the project results framework	By the TE submission date included on cover page of Project Document	Project Management unit, project partners, GEF OFP

Monitoring and Evaluation Budget for project execution:	
GEF M&E requirements to be undertaken by Project Management Unit (PMU)	**Indicative costs (US$)**
Inception Workshop and Report	1,500
M&E required to report on progress made in reaching GEF core indicators and project results included in the project results framework	*3,000*
Preparation of the annual GEF Project Implementation Report (PIR)	*N/A*
Supervision missions	*1,500*
Validation workshops and reports	*2,750*
Learning missions	*n/a*
TOTAL indicative COST	*8,750*

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GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Implementing Partner: The Implementing Partner for this project in UNDP Dominican Republic Country Office under the Direct Implementation Modality (DIM).

The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project. Specific tasks include:

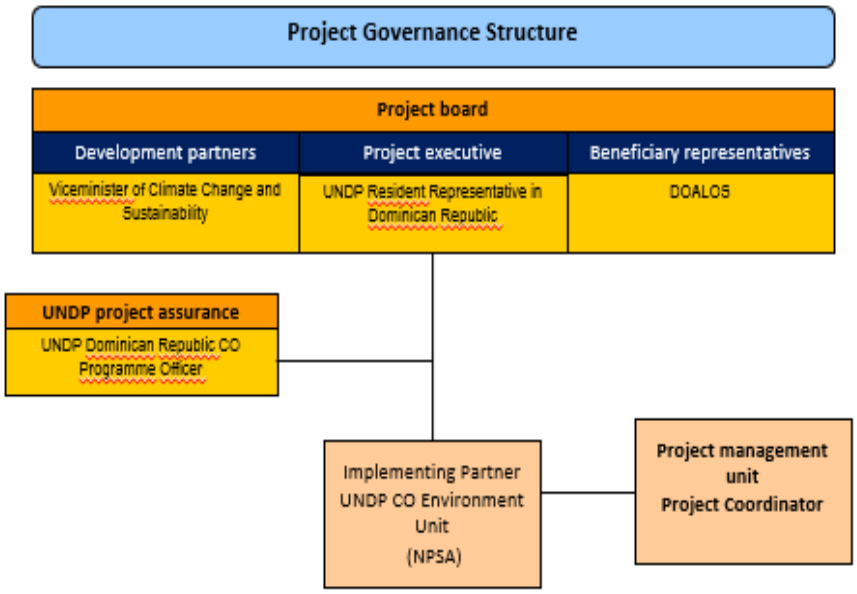
- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Overseeing the management of project risks as included in this project document and new risks that may emerge during project implementation.
- Procurement of goods and services, including human resources.
- Financial management, including overseeing financial expenditures against project budgets.
- Approving and signing the multiyear workplan.
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

Responsible Parties: No responsible party is foreseen for this project.
Project stakeholders and target groups: The main stakeholders related to BBNJ per country could involve autorities on environment, fisheries, foreign affairs and others which will be involved/engaged during the EA implementation. Additionally, academia, IFIs, private sector, CSOs and others will be also included.

UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project.** UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

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Section 2: Project governance structure



First line of Defense

- Person providing oversight of execution support (COS) cannot report to UNDP staff providing programmatic assurance of providing programmatic oversight support to the RR

Second line of defense

- Regional Bureau oversees RR and Country Office compliance at portfolio level.
- BPPS NCE RTA oversees technical assurance and GEF compliance. BPPS NCE PTA oversees RTA function.
- UNDP GEF Executive Coordinator and Regional Bureau Deputy Director can revoke DOA/cance/suspend Project or provide enhanced oversight.

The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

UNDP Execution Role*:* The GEF OFP, UNDP and the GEF have agreed for UNDP to fully execute the project under the DIM modality. To ensure the strict independence required by the GEF and in accordance with the UNDP Internal Control Framework, these execution services will be delivered independent from the GEF-specific oversight and quality assurance services.

Section 3: Segregation of duties and firewalls vis-à-vis UNDP representation on the project board:

As noted in the Minimum Fiduciary Standards for GEF Partner Agencies, in cases where a GEF Partner Agency (i.e. UNDP) carries out both implementation oversight and execution of a project, the GEF Partner Agency (i.e. UNDP) must separate its project implementation oversight and execution duties, and describe in the relevant project document a: 1) Satisfactory institutional arrangement for the separation of implementation oversight and executing functions in different departments of the GEF Partner Agency; and 2) Clear lines of responsibility, reporting and accountability within the GEF Partner Agency between the project implementation oversight and
execution functions.

In this case, UNDP's implementation oversight role in the project – as represented in the project board and via the project assurance function – is performed by the UNDP Resident Representative on the Project Board, and the Environmental Focal Point who provides project assurance. UNDP's execution role in the project (as requested by the implementing partner and approved by the GEF) is performed by the Operations Manager, who will report to the Deputy Resident Representative.

Section 4: Roles and Responsibilities of the Project Organization Structure:

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a) Project Board: All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

The two main (mandatory) roles of the project board are as follows:

1) **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the "Provide Oversight" section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results.
2) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the "Manage Change" section of the POPP).

Requirements to serve on the Project Board:

- ✓ Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minuting.
- ✓ Meet annually; at least once.
- ✓ Disclose any conflict of interest in performing the functions of a Project Board member and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- ✓ Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
- ✓ Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

Responsibilities of the Project Board:

- ✓ Consensus decision making:
  - The project board provides overall overall guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.
  - Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report;
  - The project board is responsible for making management decisions by consensus.
  - In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.
  - In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.
- ✓ Oversee project execution:
  - Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.
  - Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.
  - Address any high-level project issues as raised by the project manager and project assurance;
  - Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF policies);
  - Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.
  - Track and monitor co-financed activities and realisation of co-financing amounts of this project.
  - Approve the Inception Report, GEF annual project implementation reports, mid-term review and terminal evaluation reports.
  - Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.
- ✓ Risk Management:

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- Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
- Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.
- Address project-level grievances.

✓ Coordination:

- Ensure coordination between various donor and government-funded projects and programmes.
- Ensure coordination with various government agencies and their participation in project activities.

Composition of the Project Board: The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive usually is the senior national counterpart for nationally implemented projects (typically from the same entity as the Implementing Partner), and it must be UNDP for projects that are direct implementation (DIM). In exceptional cases, two individuals from different entities can co-share this role and/or co-chair the Project Board. If the project executive co-chairs the project board with representatives of another category, it typically does so with a development partner representative. The Project Executive is: UNDP Resident Representative in Dominican Republic.
2. **Beneficiary Representative(s):** Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often representatives from civil society, industry associations, or other government entities benefiting from the project can fulfil this role. There can be multiple beneficiary representatives in a Project Board. The Beneficiary representative (s) is/are: *DOALOS*
3. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide funding, strategic guidance and/or technical expertise to the project. The Development Partner(s) is/are: Viceminister of Climate Change and Sustainability.

b) **Project Assurance:** Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is/are: *UNDP Dominican Republic CO Programme Officer.*

c) **Project Management – Execution of the Project:** The Project Manager (PM) (also called project coordinator) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

The PMU in each participant country will consist of a Project Manager and a Project Associate. A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

The primary PMU representative attending board meetings is: the project manager hired in each country.

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FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is *USD 175,000.* This is financed through a GEF grant administered by UNDP. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Budget Revision and Tolerance: As per UNDP POPP, the project board may agree with the project manager on a tolerance level for each detailed plan under the overall multi-year workplan. The agreed tolerance should be written in the project document or approved project board meeting minutes. It should normally not exceed 10 percent of the agreed annual budget at the activity level, but within the overall approved multi-year workplan at the activity level. Within the agreed tolerances, the project manager can operate without intervention from the project board. Restrictions apply as follows:

Should the following deviations occur, the Project Manager/IP through UNDP Country Office will seek the approval of the BPPS/NCE-VF team to ensure accurate reporting to the GEF. It is **strongly encouraged** to maintain the expenditures within the approved budget at the budgetary account and at the component level:

a) Budget reallocations must prove that the suggested changes in the budget will not lead to material changes in the results to be achieved by the project. A strong justification is required and will be approved on an exceptional basis. Budget re-allocations among the components (including PMC) of the approved Total Budget and Work Plans (TBWP) that represent a value greater than 10% of the total GEF grant.
b) Introduction of new outputs/activities (i.e. budget items) that were not part of the agreed project document and TBWP that represent a value greater than 5% of the total GEF grant. The new budget items must be eligible as per the GEF and UNDP policies.
c) Project management cost (PMC): budget under PMC component is capped and cannot be increased.

UNDP is not in a position to increase the total budget above the amount approved by the donor, therefore any over-expenditure would have to be absorbed from non-GEF resources by the Implementing Partner (GEF Executing Entity)

Project extensions: The UNDP-BPPS-NCE team Executive Coordinator must approve all requests for extension of the Project Completion Date and for other milestone extensions with hard deadlines. All extensions impose additional time and cost burdens at all levels and the GEF project budget cannot be increased beyond its originally approved amount. A single extension may be granted on an exceptional basis and subject to the conditions and maximum durations set out in the UNDP POPP. The project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs shall be covered by non-GEF resources; the additional UNDP oversight costs during the extension period must be covered by non-GEF resources, in accordance with UNDP's policy as set out in UNDP POPP.

For any extension request, UNDP CO and IP will consult and jointly present a clear plan indicating how and from which specific sources the additional oversight costs that will be incurred by UNDP will be covered during the extended period. The BPPS-NCE Executive Coordinator will consult the Regional Bureaux (RBX) and may reject the extension request if no (external co-financing by the IP or internal UNDP CO resources) can be identified.

All extension requests, along with all supporting documentation, shall be submitted by the IP to the UNDP CO in line with the requirements and within the deadlines set out in the UNDP SOPs and policies in UNDP POPP.

Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agencies applicable audit policies.

Transfer or disposal of assets: In consultation with the Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project, however **must be done before the operational closure date**. In all

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cases of transfer, a transfer document must be prepared and kept on file[11]. The transfer should be done before Project Management Unit complete their assignments.

Completion Date: The project completion date is the date of Project Document Signature plus project duration. This date can only be extended through a formal extension request. Prior to completion date, all UNDP-financed inputs must be provided and related activities for the Project completed. No activities, except for the final clearance of the Terminal Evaluation Report and the corresponding management response and the end-of-project review Project Board Meeting should take place after the Completion Date.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

- **Operational Closure**: **Operational closure must happen within 9 months from project completion date.** Prior to operational closure, the Terminal Evaluation must have been submitted and the corresponding TE management response and the end-of-project review Project Board meeting must have been completed. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. Before Operational Closure, the project must have completed the transfer or disposal of any equipment that is still the property of UNDP.
- **Financial Closure: Financial closure must happen within 6 months of operational closure or after the date of cancellation.** The project will be financially closed when the following conditions have been met: a) the project is operationally completed or has been cancelled; b) the Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).
  Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to BPPS/NCE for confirmation before the project will be financially closed in Quantum by the UNDP Country Office.

Cancellation and Suspension: All projects considering going through cancellation or suspension must follow UNDP and GEF requirements. Guidance can be found in the UNDP POPP (SOPs for management actions of Vertical Fund projects escalated to the Executive Coordinator and Guidance for GEF project revisions).

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the BPPS/NCE team Directorate in New York. No action is required by the UNDP Country Office on the actual refund from UNDP project to the GEF. Unspent project balance is not permitted to be transferred to any other projects.

[11] See https://popp.undp.org/ https://popp-prod.acquia.undp.org/policy-page/close-and-transition.

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TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan			
Quantum Business Unit	UNDP-DOM		
Quantum Project ID:	01004471	Quantum Project Title:	*Enabling Activities to Support the ratification of the Agreement under the United Nations Convention on the Law of the Sea on the Conservation and Sustainable Use of Areas Beyond National Jurisdiction (EA-BBNJ)*
Quantum Award ID:	1387373	Quantum Award Title:	*PIMS-10023 Enabling Activities to Support the ratification of the Agreement BBNJ - Dominican Republic*
UNDP-GEF PIMS No.	10330		
Implementing Partner	*UNDP*		

Quantum Outcome / **(GEF Component)**	**Quantum Output and Activity** / **(GEF Outcome)**	**Quantum Responsible Party (UNDP, IP, or Responsible Party)**	**Quantum Fund ID**	**Quantum Donor ID**	**Quantum Budgetary Account Code**	**Quantum Budget Account Description**	**Amount Year 1 (USD)**	**Amount Year 2 (USD)**	**Total (USD)**	**See Budget Note: *(reference as number, not as letter)***
Component 1 Creating the enabling conditions for the Agreement's swift entry into force and initial implementation	*Project Outcome 1: Dominican Republic is in a better position to ratify the Agreement and is prepared for its implementation.*	*UNDP*	*62000*	*010003*	*71300*	*Local Consultants*	35,500	35,500	71,000	1
					75700	*Training, Workshops and Confer*	28,000	28,000	56,000	2
					71600	*Travel*	10,170	10,171	20,341	3
					72400	*Communication & Audio Visual Equip*	1,500	1,500	3,000	4
Total Component 1							**75,170**	**75,171**	**150,341**	
Monitoring and Evaluation (M&E)	*M&E*	*UNDP*	*62000*	*010003*	*71300*	*Local Consultants*	2,875	2,875	5,750	5
					75700	*Training, Workshops and Confer*	1,500	1,500	3,000	6
Total M&E							**4,375**	**4,375**	**8,750**	
Project Management Cost (PMC)	*PMC*	*UNDP*	*62000*	*010003*	*71400*	*Contractual Services – Individ*	6,454	6,455	12,909	7
					74100	*Professional Services*	1,500	1,500	3,000	8
Total Project Management Cost							**7,954**	**7,955**	**15,909**	
Total Project Grant							**87,499**	**87,501**	**175,000**	

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Budget Notes

1	$60,000 National consultants to carry out initial assessment (overview of country situation, progress towards ratification, main challenges, etc) on BBNJ in country and responsible for day to day implementation of the project, acquisition processes, administration and activity management. $11,000 National consultants to be engaged for providing local technical coordination, other technical services, or to supplement the staff capacity of existing national staff to identify biodiversity finance gaps and opportunities for resource mobilization.
2	National workshops and meetings to ensuring strong stakeholder engagement across national level efforts for BBNJ ratification support and implementation readiness.
3	Cost of travel for technical data gathering, stakeholder consultations, etc.
4	Costs for publishing national BBNJ Initial Assessment report (layout, printing).
5	National Consultant for project management and monitoring and evaluation to ensure sufficient for day to day implementation of project, acquisition processes, administration, adaptive management and timely reporting.
6	National inception workshop and final project workshop, including monitoring and evaluation of project.
7	$12,909 – National Coordinator for project management and monitoring and evaluation, to ensure daily project implementation, procurement processes, administration, adaptive management, and timely reporting.
8	3,000 Annual audits

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LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAAs for the specific countries; or (ii) in the Supplemental Provisions to the Project Document attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by different IPs ("Implementing Partner") detailed above in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply**.**

RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]12 [UNDP funds received pursuant to the Project Document]13 are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via https://www.un.org/securitycouncil/content/un-sc-consolidated-list. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

    a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such

[12] To be used where UNDP is the Implementing Partner
[13] To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

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responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

c. Each responsible party, subcontractor and sub-recipient (each a "sub-party" and together "sub-parties") acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

d. In the performance of the activities under this Project, each sub-party shall (with respect to its own activities) and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:

(i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;

(ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;

(iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;

(iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and

(v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

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e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.

g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption, anti-fraud and anti-money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.

h. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

i. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

j. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

   Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

k. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud, corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

   Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

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Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

l. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

m. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

n. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

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Annex 1: GEF Budget Template

Expenditure Category	Detailed Description	Component (USDeq.)				Total (USDeq.)	Number of Participating Countries	Umbrella EA Total	Responsible Entity
		Component 1	*Sub-Total*	*M&E*	*PMC*				(Executing Entity receiving funds from the GEF Agency)[1]
		Outcome 1.1							
Equipment	Costs for publishing national BBNJ Initial Assessment report (layout, printing). Estimated cost for each country.	3,000	3,000			3,000.00	x 9 countries	27,000.00	UNDP Ministry of Foreign Affairs (CHL) MESTI (GHN) VPO (TZN) Ministry of the Sea (Cape Verde)
Local Consultants	$4,000 Administrative Assistant or operational support services, depending on national level implementation arrangement. $8,909 National Consultant for project management and monitoring and evaluation to ensure sufficient for day to day implementation of project acquisition processes, administration, adaptive management and timely reporting.		-		12,909.00	12,909.00	x 9 countries	116,181.00	UNDP Ministry of Foreign Affairs (CHL) MESTI (GHN) VPO (TZN) Ministry of the Sea (Cape Verde)
Local Consultants	$60,000 National consultants to carry out initial assessment (overview of country situation, progress towards ratification, main challenges, etc) on BBNJ in country and responsible for day to day implementation of the project, acquisition processes, administration and activity management. 43% of salary charged to Ouctome 1.1, 43% salary charged to Outcome 1.2 and 14% salary charged to PMC. $11,000 National consultants to be engaged for providing local technical coordination, other technical services, or to supplement the staff capacity of existing national staff (based on the needs of each country) to identify biodiversity finance gaps and opportunities for resource mobilization. Total estimated cost for each country	71,000	71,000			71,000.00	x 9 countries	639,000.00	UNDP Ministry of Foreign Affairs (CHL) MESTI (GHN) VPO (TZN) Ministry of the Sea (Cape Verde)

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Local Consultants	National Consultant for project management and monitoring and evaluation to ensure sufficient for day to day implementation of project, acquisition processes, administration, adaptive management and timely reporting.		-	5,750.00		5,750.00	x 9 countries	51,750.00	UNDP Ministry of Foreign Affairs (CHL) MESTI (GHN) VPO (TZN) Ministry of the Sea (Cape Verde
Training, Workshops, Meetings	National inception workshop and final project workshop, including monitoring and evaluation of project. Cost for each country.		-	3,000.00		3,000.00	x 9 countries	27,000.00	UNDP Ministry of Foreign Affairs (CHL) MESTI (GHN) VPO (TZN) Ministry of the Sea (Cape Verde
Training, Workshops, Meetings	National workshops and meetings to ensuring strong stakeholder engagement across national level efforts for BBNJ ratification support and implementation readiness.	56,000	56,000			56,000.00	x 9 countries	504,000.00	UNDP Ministry of Foreign Affairs (CHL) MESTI (GHN) VPO (TZN) Ministry of the Sea (Cape Verde)
Travel	Cost of travel for technical data gathering, stakeholder consultations, etc. Estimated cost for each country.	20,341	20,341			20,341.00	x 9 countries	183,069.00	UNDP Ministry of Foreign Affairs (CHL) MESTI (GHN) VPO (TZN) Ministry of the Sea (Cape Verde)
Office Supplies	Cost of stationery & other office supplies, etc. Estimated total cost for each country.		-		3,000.00	3,000.00	x 9 countries	27,000.00	UNDP Ministry of Foreign Affairs (CHL) MESTI (GHN) VPO (TZN) Ministry of the Sea (Cape Verde)
Grand Total		**150,341**	**150,341**	**8,750.00**	**15,909.00**	**175,000.00**	**x 9 countries**	**1,575,000.00**	

This project budget is presented as an example national BBNJ Enabling Activity budget plus a total estimated budget for this GEF umbrella Enabling Activity that includes 9 countries. Actual national activities and associated budget will be defined by each country and the GEF Implementing Agency at the disbursement stage based on national context and need and in line with GEF Council Document GEF/C.66/07. The specific activities and associated budget will be reflected in the GEF project grant agreement between the GEF Implementing Agency and the GEF grant recipient.

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Annex 2: Multi Year Work Plan

	Outcomes	**Outputs**	**Year 1**				**Year 2**			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Component 1	**1** Participating countries are better positioned to ratify the Agreement and have implementation readiness	Output 1.1	x	x	x	x	x	x	x	x
		Output 1.2	x	x	x	x	x	x	x	x
Component 2	**2:** Effective project implementation based on adaptive management and lessons learned.	Output 2.1	x	x	x	x	x	x	x	x

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Annex 3: UNDP Social and Environmental Screening Procedure (SESP)

UNDP Social and Environmental Screening Template (v. July 2022)

Project Information

Project Information	
1. Project Title	Enabling Activities to Support the ratification of the Agreement under the United Nations Convention on the Law of the Sea on the Conservation and Sustainable Use of Areas Beyond National Jurisdiction (EA-BBNJ)
2. Project Number (i.e., Quantum project ID, PIMS+)	10023
3. Location (Global/Region/Country)	Global (Tanzania, Mexico, Cabo Verde, Dominican Republic, Philippines, Chile, Ghana and Uruguay)
4. Project stage (Design or Implementation)	Design
5. Date	Oct. 1, 2024

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
This is a multi-country EA project supported by the GEF, as part of the Financial Mechanism of the Areas Beyond National Jurisdiction (BBNJ) Agreement, to facilitate participation of representatives of developing State Parties in the meeting of the bodies under the Agreement. The objective of this grant under the Enabling Activity modality, is to support countries in: (a) assessing the extent to which their current legal, policy and institutional framework allows for the prompt ratification of the BBNJ Agreement and enables the implementation of its obligations at the national level; (b) carrying out preparatory work in the context of their ratification, approval, acceptance or accession process; and (c) supporting their readiness – at pre-entry into force phase – to meet the requirements under the main sections in the BBNJ Agreement. Aligned with this EAs objective, human rights-based approach will be mainstreamed during implementation, ensuring that the processes to achieve the initial BBNJ assessments are gender-sensitive and socially inclusive, and are free from discrimination and transparent. Where there are emerging issues, such as gender equality, Indigenous land rights, and sectoral issues, national processes for participation should identify relevant stakeholders to be invited to participate in the process. The project is structured under 1 main component: National BBNJ Initial Assessment appropriate to each country: 1) an overview of the country's situation with respect to the conservation and sustainable use of BBNJ and its potential impacts; 2) an overview of the institutions and legal and regulatory frameworks already in place in relation to the BBNJ

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Agreement; 3) an analysis detailing progress towards ratification, approval, acceptance or accession, including the identification of legal or regulatory gaps that need to be addressed prior to ratification, approval, acceptance or accession; and 4) an analysis of key challenges to ratification, approval, acceptance or accession and future implementation, including priority capacity-building needs, as detected via the overviews required.

As a global programme supporting countries in complying with the requirements to deposit instruments of ratification, approval and acceptance or accession to the BBNJ Agreement, this initiative recognizes and upholds the human rights-principles as key elements in achieving development results. In this light, the initiative, through its technical support component will promote equal, non-discriminatory, and active participation of all stakeholders in planning, decision making, implementation and evaluation of its activities and outcomes.

Led by countries, stakeholders will be engaged to participate in the process, and the appropriate procedures such as multistakeholder dialogue platforms and meaningful participation will be recommended at the recipient country level, based on national processes and policy frameworks, ensuring they meet international standards.

With technical support provided through each UNDP Country Office, each country led project will develop a Stakeholder mapping exercise and guarantee a gender mainstreaming to ensure that their national planning process upholds the principles of equality and non-discrimination, participation and inclusion and accountability to stakeholders.

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment

The project provides financial and technical support to countries signatories to the BBNJ Agreement in achieving its ratification and creating the enabling conditions for its swift implementation. The project will ensure that the BBNJ assessment report includes gender mainstreaming in its analysis of country situation, regulatory frameworks, and challenges. It will also assess the potential impacts to gender equality on each of the mentioned before and to the extent possible, it will develop capacities to contribute to the national gender equality agendas of each participating country.

Briefly describe in the space below how the project mainstreams sustainability and resilience

Through the initial BBNJ national assessments, signatory countries will be able to have an overview of the current situation with respect to the conservation and sustainable use of BBNJ and potential impacts in order to ensure the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction for the present and in the long term, through effective implementation of the relevant provisions of the convention and further international cooperation and coordination, as stated in Article 2 of the BBNJ Agreement. Sustainability and resilience are key aspects to be considered in the final BBNJ Assessments reports as this will support countries to ratify the Agreement, that in the long term will help to reduce vulnerabilities and will strength communities and livelihoods around these areas.

This project will raise awareness during its implementation phase to enhance future application of social and environmental safeguards standards and procedures, especially in the context of potential impacts on communities, stakeholders or vulnerable groups in the areas of intervention.

Briefly describe in the space below how the project strengthens accountability to stakeholders

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Accountability to stakeholders will be mainstreamed by: (i) enabling meaningful stakeholder engagement and participation (with special attention paid to those at risk of being left behind); (ii) ensuring transparency through provision of timely, accessible and functional information on supported activities, including on potential social and environmental risks, impacts and management measures; (iii) ensuring stakeholders can communicate their concerns and have access to a rights-based grievance resolution mechanism; and (iv) ensuring effective results monitoring.

In-country activities implemented include meaningful stakeholder engagement in the process. In each country a national steering committee will be established to provide strategic direction and review and approve all national level reports, and the final assessment. These will be led by ministries of environment/fisheries/foreign affairs, supplemented by other key affected stakeholders as per the national context.

Each county in the project will put in place a Grievance Redress Mechanism and stakeholders will also have access to UNDP's Accountability Mechanism. Project documentation will be publicly disclosed as appropriate, in line with UNDP's policies on public disclosure of information.

During implementation the Project Steering Committees/Boards will monitor the project's accountability measures at intervals during the lifespan of the project and will also report on project progress, at intervals, to project stakeholders.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2.*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5below before proceeding to Question 5*			**QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High**
Risk Description ***(broken down by event, cause, impact)***	***Impact and Likelihood (1-5)***	***Significance (Low, Moderate Substantial,*** ***High)***	***Comments (optional)***	***Description of assessment and management measures for risks rated as Moderate, Substantial or High***
Risk 1 Participating governments, may not have the capacity to ensure equitable representation and involvement of diverse stakeholder groups, especially	L = 3 I = 2	**Moderate**	It is important that the views, perspectives, and experiences of all groups are considered in decision-making processes related to BBNJ ratification process. The scope of this SESP covers only the potential direct impact from activities	The global coordination project (PIMS 10024) will provide guidance on socially inclusive stakeholder engagement to Parties to ensure that stakeholder involvement, including Indigenous Peoples and/or Local Communities representation, is fully embedded in the process, based on the Stakeholders Engagement Plan that will be prepared during project implementation. Each country team will develop a Stakeholder mapping, including the different levels of engagement to guide the process for implementing this EA.

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Indigenous Peoples and Local Communities, preventing them from sharing their views, knowledge and opinions on the implementation of the BBNJ Agreement and increasing conflicts to project-affected stakeholders. (Principle: Human Rights Questions P2 , P3 and P7			implemented by this project, that are related to the implementation of Enabling Activities. The latter activities include capacity support to conducting assessments, creating policy dialogues/multistakeholder round tables, raising awareness via assessments on BBNJs and finance policies, support to policy processes and financial targets and planning processes. This project will not determine the content of the policy /planning processes because the process is nationally owned, and responds to national agenda setting, lobbying, inter-sector ministerial dialogues and public policy making processes. The project supports these processes, which are nationally owned and determined, and hence does not determine the outcome.	
Risk 2: Stakeholders groups, especially Indigenous People and Local Communities and groups from other under-represented sectors, may face exclusion from decision making giving rise to grievances or objections which may not be	I = 3 L = 2	Moderate	The project will ensure to take into consideration all relevant stakeholders, especially considering Indigenous People and Local Communities, ensuring a grievance mechanisms is in place with simplified access to all groups.	Each country (EA) will be developed during the implementation a Stakeholder mapping and the levels of engagement needed, to ensure all relevant stakeholders are participating in project components. A Grievance Redress Mechanism will also be prepared and socialized by each country in the project. Project stakeholders will also have access to UNDPs Accountability Mechanism.

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taken into account during project implementation. (Principle: Accountability Questions P13 and P14)				
Risk 3 The role of women in accessing environmental goods and services and the differentiated impact on them may not be adequately considered in the process of developing the different required assessments, consultation, and participation processes may perpetuate existing discriminations against women that may result from future interventions that are included in the national BBNJ assessment report. (P9 – P12 of checklist).	L = 3 I = 3	**Moderate**	The role that women play is important in the conservation and sustainable use of marine biological diversity and the need for the full participation of women at all levels of policymaking and implementation for marine biodiversity conservation. Under this project, countries will be developing a national BBNJ assessment, identifying areas where actions are needed, and gender considerations will need to be assessed and integrated.	Gender mainstreaming will start early in the consultation processes and gender related criteria will be integrated into the final BBNJ assessment report. The regional project will provide guidelines to countries in order to better mainstream gender along the process and in the final reports.
Risk 4: The national BBNJ assessment report may not provide adequate consideration to potential indirect risks associated with the ratification of the BBNJ Agreement in regard to impact on indigenous peoples (Standard 6)	L = 3 I = 2	**Moderate**	The potential risks described could be a consequence of not including all stakeholders on consultation and participation processes that will require involvement of all groups as it will involve legal, regulatory and policy assessments. However, while this project is not supporting implementation, if the assessments are not	To support the integration of considerations within the national BBNJs reports related to potential impacts and unintended environmental and social impacts, the global project (10024) will provide guidance to participating countries to develop assessments and awareness raising documents and the mainstreaming of social and environmental sustainability aspects within the dialogue and consultation processes. In addition, during implementation, the project will support and include from the beginning the participation of Indigenous people, provide guidance on stakeholder response mechanisms, disclosure and public consultation, to support the governments accountability to stakeholders. This will be

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Standard 6, questions 6.3, 6.4, 6.7 to 6.9			informed by potential environmental and social impacts then they may ultimately result in unintended impacts during their implementation. The current project will raise awareness and support knowledge development but will not manage the risks pertaining to future projects.	conducted within the framework of national policies and will focus on enhancing the national processes of public consultation and stakeholder engagement within policy development processes. These assessments can shed light on concerns about Indigenous Peoples and special interest groups rights to ABS/genetic resources and/or indigenous knowledge, and FPIC requirements.
Risk 5: The national BBNJ assessment report may not provide adequate consideration to potential indirect risks associated with the ratification of the BBNJ Agreement in regard to impact on community health and Safety and on Labor and Working conditions (Standard 7) Standard 7, question 7.6	L = 3 I = 3	**Moderate**	The potential risks described could be a consequence of not including all stakeholders on consultation and participation processes that will require involvement of all groups as it will involve legal, regulatory and policy assessments. However, while this project is not supporting implementation, if the assessments are not informed by potential environmental and social impacts then they may ultimately result in unintended impacts during their implementation. The current project will raise awareness and support knowledge development but	To support the integration of considerations within the national BBNJs reports related to potential impacts and unintended social impacts, the global project will provide guidance to participating countries to develop assessments and awareness raising documents and the mainstreaming of social and environmental sustainability aspects within the dialogue and consultation processes. In addition, during implementation, the project will support and include from the beginning the participation of main stakeholders, provide guidance on stakeholder response mechanisms, disclosure and public consultation, to support the governments accountability to stakeholders. This will be conducted within the framework of national policies and will focus on enhancing the national processes of public consultation and stakeholder engagement within policy development processes.

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			will not manage the risks pertaining to future projects.			
	QUESTION 4: What is the overall project risk categorization?					
	Low Risk	☐				
	Moderate Risk	☒				
	Substantial Risk	☐				
	High Risk	☐				
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (Check all that apply)					
	Question only required for Moderate, Substantial and High Risk projects					
	Is assessment required? (check if "yes")				***Status? (completed, planned)***	
	if yes, indicate overall type and status		☐	Targeted assessment(s)		
			☐	ESIA (Environmental and Social Impact Assessment)		
			☐	SESA (Strategic Environmental and Social Assessment)		
	Are management plans required? (check if "yes)	☐				
	If yes, indicate overall type		☐	Targeted management plans (e.g., Gender Action Plan, Emergency Response Plan, Waste Management		

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				Plan, others)	

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included:

Signature	***Date***	***Description***
QA Assessor Signed by: Pierre Candelon 4939701A03054B7...	28-Jul-2025	UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver DocuSigned by: 78F3FD8D7540490...	28-Jul-2025	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair DocuSigned by: 78F3FD8D7540490...	28-Jul-2025	UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind **Human Rights**		**Answer (Yes/No)**
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	Yes
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	yes

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Would the project potentially involve or lead to:	
P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5 inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? 16	No
P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Gender Equality and Women's Empowerment	
P.8 Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
Would the project potentially involve or lead to:	
P.9 adverse impacts on gender equality and/or the situation of women and girls?	Yes
P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
P.11 limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	Yes
P.12 exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc*.	Yes

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Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below	
Accountability	
Would the project potentially involve or lead to:	
P.13 exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	Yes
P.14 grievances or objections from potentially affected stakeholders?	Yes
P.15 risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
Project-Level Standards	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
Would the project potentially involve or lead to:	
1.1 adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	No
1.2 activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3 changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4 risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5 exacerbation of illegal wildlife trade?	No
1.6 introduction of invasive alien species?	No
1.7 adverse impacts on soils?	No
1.8 harvesting of natural forests, plantation development, or reforestation?	No
1.9 significant agricultural production?	No
1.10 animal husbandry or harvesting of fish populations or other aquatic species?	No

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1.11 significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.12 handling or utilization of genetically modified organisms/living modified organisms?17	No
1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)18	No
1.14 adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks	
Would the project potentially involve or lead to:	

17 See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.

18 See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

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2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2 outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? *For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes*	No
2.3 increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially* *increasing the population's vulnerability to climate change, specifically flooding*	No
2.4 increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security	
Would the project potentially involve or lead to:	
3.1 construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	No
3.2 air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No
3.3 harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4 risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
3.5 transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6 adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7 influx of project workers to project areas?	No
3.8 engagement of security personnel to protect facilities and property or to support project activities?	No
Standard 4: Cultural Heritage	
Would the project potentially involve or lead to:	
4.1 activities adjacent to or within a Cultural Heritage site?	No

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4.2 significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3 adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.4 alterations to landscapes and natural features with cultural significance?	No
4.5 utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement	
Would the project potentially involve or lead to:	
5.1 temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No

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5.2 economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3 risk of forced evictions?	No
5.4 impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples	
Would the project potentially involve or lead to:	
6.1 areas where indigenous peoples are present (including project area of influence)?	No
6.2 activities located on lands and territories claimed by indigenous peoples?	No
6.3 impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to screening question 6.3 is "yes", then Standard 6 requirements apply, and the potential significance of risks related to impacts on indigenous peoples must be Moderate or above.* [*]	Yes
6.4 the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	Yes
6.5 the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6 forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? *Consider, and where appropriate ensure, consistency with the answers under Standard 5 above*	No
6.7 adverse impacts on the development priorities of indigenous peoples as defined by them?	Yes
6.8 risks to the physical and cultural survival of indigenous peoples?	Yes
6.9 impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? *Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.*	Yes

[*] Note: revised July 2022 modifying presumption of risk significance from Substantial or higher to Moderate or higher.

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Standard 7: Labour and Working Conditions	
Would the project potentially involve or lead to: (note: applies to project and contractor workers)	
7.1 working conditions that do not meet national labour laws and international commitments?	No
7.2 working conditions that may deny freedom of association and collective bargaining?	No
7.3 use of child labour?	No
7.4 use of forced labour?	No
7.5 discriminatory working conditions and/or lack of equal opportunity?	No
7.6 occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	Yes

19 Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

Standard 8: Pollution Prevention and Resource Efficiency	
Would the project potentially involve or lead to:	
8.1 the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
8.2 the generation of waste (both hazardous and non-hazardous)?	No
8.3 the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4 the use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention*	No
8.5 the application of pesticides that may have a negative effect on the environment or human health?	No
8.6 significant consumption of raw materials, energy, and/or water?	No

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Annex 4: UNDP Risk Register

Project Title:	Project Number: 10023	Date: Click or tap to enter a date.

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
1	There is a risk that could indirectly affect the project.	As a result of natural disasters affecting countries participating in the project	Which will impact in the countries attendance to workshops and the use of their capacity building support.	**1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change and disaster risks) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Oct-24 To: 30-Sep-26	Project Manager	Risk Treatment 1.1: Activities such as workshops could also be directly affected by such events and should be planned in areas where the risk is low. The possibilities to achieve the desired outcomes of the BBNJ Agreement when implemented could be threatened by accelerating climate change but this is not considered part of this project.
2	There is a risk that States will not progress with the ratification of the BBNJ Agreement	As a result of national processes that cannot be influenced by the project.	Which will impact the project results	**7. STRATEGIC (7.5. Government commitment) - UNDP Risk Appetite: OPEN TO SEEKING**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Oct-24 To: 30-Sep-26	Project Manager	Risk Treatment 2.1: The project will aim to facilitate for States to become parties to the BBNJ Agreement but is not in a position to directly influence national processes. Still, the project will support capacity building processes and trouble shoot any obstacles and provide guidance materials and opportunities for learning to encourage signature/ratification/accession. It may also encourage cross-sectoral coordination, collaboration and engagement at the national level but ultimately decisions are the prerogative of States.

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#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
3	There is a risk that there could be a lack of policy coherence at global and regional levels associated with the BBNJ agreement.	As a result of the activities carried out by the project	Which will impact in the final results of the agreement	**7. STRATEGIC (7.7. Alignment with national priorities) - UNDP Risk Appetite: OPEN TO SEEKING**	Likelihood: **2 - Low likelihood** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Oct-24 To: 30-Sep-26	Project Manager	Risk Treatment 3.1: The project will promote policy coherence aiming in particular at targeting the global and regional levels associated with the BBNJ Agreement related ratification support and implementation readiness activities. As the BBNJ Agreement was concluded within the framework of the UNCLOS, it is aligned with related existing strategies and policies by countries and should not pose a risk to regard to policy coherence, and neither should the project.
4	There is a risk that the project has overlooked some dimensions	As a result of the project design in a short period of time	Which will impact what is proposed by the project	**3. OPERATIONAL (3.3. Flexibility and opportunity management) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **2 - Low likelihood** Impact: **1 - Negligible** Risk level: **LOW (equates to a risk appetite of MINIMAL)**	From: 01-Oct-24 To: 30-Sep-26	Project Manager	Risk Treatment 4.1: The project was designed in a very short time period and the design phase could have overlooked some dimensions. This will be compensated by allowing for a certain level of flexibility and adaptative management in the execution of the project. However, the project formulation followed the initial guidance provided by GEF and should hence be aligned to existing priorities.
5	There is a risk that stakeholders opinions are not well included in the project	As a result of a fast track design phase	Which will impact in the project design	**7. STRATEGIC (7.3. Stakeholder relations and partnerships) - UNDP Risk**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate**	From: 01-Oct-24 To: 30-Sep-26	Project Manager	Risk Treatment 5.1: Due to the short fast track design phase, stakeholder consultations and engagement were not as extensive as they could have been. While preliminary

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#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
				Appetite: OPEN TO SEEKING	Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**			consultations were carried out with select IFBs, engagement with them will continue during project implementation. Furthermore, additional IFBs, not consulted in the preliminary phase, as well as countries – in particular SIDS, LDCs and LLDCs, as well as with IP&LCs - could be also consulted at the beginning of and throughout the project
6	There is a risk that participating governments, may not have the capacity to ensure equitable representation and involvement of diverse stakeholder groups, especially Indigenous Peoples and Local Communities, preventing them from sharing their views, knowledge and	As a result of a lack of a Stakeholders mapping and definition of levels of engagement	Which will impact these vulnerable groups	**1. SOCIAL AND ENVIRONMENTAL (1.1. Human rights) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **2 - Minor** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Oct-24 To: 30-Sep-26	Project Manager	Risk Treatment 6.1: The global coordination project (PIMS 10024) will provide guidance on socially inclusive stakeholder engagement to Parties to ensure that stakeholder involvement, including Indigenous Peoples and/or Local Communities representation, is fully embedded in the process, based on the Stakeholders Engagement Plan that will be prepared during project implementation. Each country team will develop a Stakeholder mapping, including the different levels of engagement to guide the process for implementing this EA.

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#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
	opinions on the implementation of the BBNJ Agreement and increasing conflicts to project-affected stakeholders							
7	There is a risk that Stakeholders groups, especially Indigenous People and Local Communities and groups from other under-represented sectors, may face exclusion from decision making giving rise to grievances or objections which may not be taken into account during project implementation.	As a result of a Stakeholders mapping and definition of levels of engagement	Which will impact in the project results	**1. SOCIAL AND ENVIRONMENTAL (1.3. Grievances (Accountability to stakeholders)) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Oct-24 To: 30-Sep-26	Project Manager	Risk Treatment 7.1: Each country (EA) will be developed during the implementation a Stakeholder mapping and the levels of engagement needed, to ensure all relevant stakeholders are participating in project components. A Grievance Redress Mechanism will also be prepared and socialized by each country in the project. Project stakeholders will also have access to UNDPs Accountability Mechanism.
8	There is a risk that the role of women in accessing	As a result of a lack of gender mainstreaming	Which will impact in the project results	**1. SOCIAL AND ENVIRONMENTAL (1.2.**	Likelihood: **3 - Moderately likely** Impact:	From: 01-Oct-24 To: 30-Sep-26	Project Manager	Risk Treatment 8.1: Gender mainstreaming will start early in the consultation processes and

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#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
	environmental goods and services and the differentiated impact on them may not be adequately considered in the process of developing the different required assessments, consultation, and participation processes may perpetuate existing discriminations against women that may result from future interventions that are included in the national BBNJ assessment report.	in the project activities.		**Gender equality and women's empowerment) - UNDP Risk Appetite: CAUTIOUS**	**3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**			gender related criteria will be integrated into the final BBNJ assessment report. The regional project will provide guidelines to countries in order to better mainstream gender along the process and in the final reports.
9	There is a risk that The national BBNJ assessment report may not provide adequate	As a result of a lack of involvement of indigenous peoples due to the lack of Stakeholders	Which will impact in the project results	**1. SOCIAL AND ENVIRONMENTAL (1.9. Indigenous peoples) - UNDP Risk**	Likelihood: **3 - Moderately likely** Impact: **2 - Minor** Risk level:	From: 01-Oct-24 To: 30-Sep-26	Project Manager	Risk Treatment 9.1: To support the integration of considerations within the national BBNJs reports related to potential impacts and unintended environmental and social impacts, the global project

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#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
	consideration to potential indirect risks associated with the ratification of the BBNJ Agreement in regard to impact on indigenous peoples (Standard 6)	mapping and definition of levels of engagement		**Appetite: CAUTIOUS**	**MODERATE (equates to a risk appetite of EXPLORATORY)**			(10024) will provide guidance to participating countries to develop assessments and awareness raising documents and the mainstreaming of social and environmental sustainability aspects within the dialogue and consultation processes. In addition, during implementation, the project will support and include from the beginning the participation of Indigenous people, provide guidance on stakeholder response mechanisms, disclosure and public consultation, to support the governments accountability to stakeholders. This will be conducted within the framework of national policies and will focus on enhancing the national processes of public consultation and stakeholder engagement within policy development processes.
10	There is a risk that the national BBNJ assessment report may not	As a result of a lack of involvement of stakeholders due to the lack of Stakeholders	Which will impact in the project results	**1. SOCIAL AND ENVIRONMENTAL (1.10. Labour and working**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate**	From: 01-Oct-24 To: 30-Sep-26	Project Manager	Risk Treatment 10.1 To support the integration of considerations within the national BBNJs reports related to potential impacts and unintended social impacts, the

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#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
	provide adequate consideration to potential indirect risks associated with the ratification of the BBNJ Agreement in regard to impact on community health and Safety and on Labor and Working conditions (Standard 7)	mapping and definition of levels of engagement		**conditions) - UNDP Risk Appetite: CAUTIOUS**	Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**			global project will provide guidance to participating countries to develop assessments and awareness raising documents and the mainstreaming of social and environmental sustainability aspects within the dialogue and consultation processes. In addition, during implementation, the project will support and include from the beginning the participation of main stakeholders, provide guidance on stakeholder response mechanisms, disclosure and public consultation, to support the governments accountability to stakeholders. This will be conducted within the framework of national policies and will focus on enhancing the national processes of public consultation and stakeholder engagement within policy development processes.

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Annex 5: Terms of Reference for Project Board and Project Team

The standard Project Board TOR can be found here.

Annex 6: GEF Taxonomy

***Guidance to project developer**: Please complete these tables as appropriate ticking the most relevant keywords/topics/themes. Double check on the GEF website here to ensure this is the most recent list: https://www.thegef.org/documents/templates This Annex must be completed by the submission deadline, but it does not need to be included in the ProDoc submitted to the GEF as this data must be manually entered into the GEF Portal.*

Level 1	Level 2	Level 3	Level 4
☐ **Influencing models**			
	☐ **Transform policy and regulatory environments**		
	☐ **Strengthen institutional capacity and decision-making**		
	☐ **Convene multi-stakeholder alliances**		
	☐ **Demonstrate innovative approaches**		
	☐ **Deploy innovative financial instruments**		
☒ **Stakeholders**			
	☒ **Indigenous Peoples**		
	☒ **Private Sector**		
		☒ Capital providers	
		☒ Financial intermediaries and market facilitators	
		☒ Large corporations	
		☒ SMEs	
		☒ Individuals/Entrepreneurs	
		☐ Non-Grant Pilot	
		☐ Project Reflow	
	☒ **Beneficiaries**		
	☒ **Local Communities**		
	☒ **Civil Society**		
		☒ Community Based Organization	
		☒ Non-Governmental Organization	
		☒ Academia	
		☒ Trade Unions and Workers Unions	
	☒ **Type of Engagement**		
		☒ Information Dissemination	
		☒ Partnership	
		☒ Consultation	
		☒ Participation	
	☒ **Communications**		
		☒ Awareness Raising	
		☐ Education	
		☐ Public Campaigns	
		☐ Behavior Change	
☒ **Capacity, Knowledge and Research**			
	☒ **Enabling Activities**		
	☒ **Capacity Development**		
	☒ **Knowledge Generation and Exchange**		
	☐ **Targeted Research**		
	☐ **Learning**		
		☐ Theory of Change	
		☐ Adaptive Management	
		☐ Indicators to Measure Change	
	☒ **Innovation**		
	☒ **Knowledge and Learning**		
		☒ Knowledge Management	
		☒ Innovation	
		☒ Capacity Development	
		☒ Learning	
	☐ **Stakeholder Engagement Plan**		

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☒**Gender Equality**			
	☒**Gender Mainstreaming**		
		☒Beneficiaries	
		☒Women groups	
		☐Sex-disaggregated indicators	
		☐Gender-sensitive indicators	
	☒**Gender results areas**		
		☒Access and control over natural resources	
		☒Participation and leadership	
		☒Access to benefits and services	
		☒Capacity development	
		☒Awareness raising	
		☒Knowledge generation	
☒**Focal Areas/Theme**			
	☐**Integrated Programs**		
		☐Commodity Supply Chains (Good Growth Partnership)	
			☐Sustainable Commodities Production
			☐Deforestation-free Sourcing
			☐Financial Screening Tools
			☐High Conservation Value Forests
			☐High Carbon Stocks Forests
			☐Soybean Supply Chain
			☐Oil Palm Supply Chain
			☐Beef Supply Chain
			☐Smallholder Farmers
			☐Adaptive Management
		☐Food Security in Sub-Sahara Africa	
			☐Resilience (climate and shocks)
			☐Sustainable Production Systems
			☐Agroecosystems
			☐Land and Soil Health
			☐Diversified Farming
			☐Integrated Land and Water Management
			☐Smallholder Farming
			☐Small and Medium Enterprises
			☐Crop Genetic Diversity
			☐Food Value Chains
			☐Gender Dimensions
			☐Multi-stakeholder Platforms
		☐Food Systems, Land Use and Restoration	
			☐Sustainable Food Systems
			☐Landscape Restoration
			☐Sustainable Commodity Production
			☐Comprehensive Land Use Planning
			☐Integrated Landscapes
			☐Food Value Chains
			☐Deforestation-free Sourcing
			☐Smallholder Farmers
		☐Sustainable Cities	
			☐Integrated urban planning
			☐Urban sustainability framework
			☐Transport and Mobility
			☐Buildings
			☐Municipal waste management
			☐Green space
			☐Urban Biodiversity
			☐Urban Food Systems
			☐Energy efficiency

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			☐ Municipal Financing
			☐ Global Platform for Sustainable Cities
			☐ Urban Resilience
	☐ **Biodiversity**		
		☐ Protected Areas and Landscapes	
			☐ Terrestrial Protected Areas
			☐ Coastal and Marine Protected Areas
			☐ Productive Landscapes
			☐ Productive Seascapes
			☐ Community Based Natural Resource Management
		☐ Mainstreaming	
			☐ Extractive Industries (oil, gas, mining)
			☐ Forestry (Including HCVF and REDD+)
			☐ Tourism
			☐ Agriculture & agrobiodiversity
			☐ Fisheries
			☐ Infrastructure
			☐ Certification (National Standards)
			☐ Certification (International Standards)
		☐ Species	
			☐ Illegal Wildlife Trade
			☐ Threatened Species
			☐ Wildlife for Sustainable Development
			☐ Crop Wild Relatives
			☐ Plant Genetic Resources
			☐ Animal Genetic Resources
			☐ Livestock Wild Relatives
			☐ Invasive Alien Species (IAS)
		☐ Biomes	
			☐ Mangroves
			☐ Coral Reefs
			☐ Sea Grasses
			☐ Wetlands
			☐ Rivers
			☐ Lakes
			☐ Tropical Rain Forests
			☐ Tropical Dry Forests
			☐ Temperate Forests
			☐ Grasslands
			☐ Paramo
			☐ Desert
		☐ Financial and Accounting	
			☐ Payment for Ecosystem Services
			☐ Natural Capital Assessment and Accounting
			☐ Conservation Trust Funds
			☐ Conservation Finance
		☐ Supplementary Protocol to the CBD	
			☐ Biosafety
			☐ Access to Genetic Resources Benefit Sharing
	☐ **Forests**		
		☐ Forest and Landscape Restoration	
			☐ REDD/REDD+
		☐ Forest	
			☐ Amazon

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			☐ Congo
			☐ Drylands
	☐ **Land Degradation**		
		☐ Sustainable Land Management	
			☐ Restoration and Rehabilitation of Degraded Lands
			☐ Ecosystem Approach
			☐ Integrated and Cross-sectoral approach
			☐ Community-Based NRM
			☐ Sustainable Livelihoods
			☐ Income Generating Activities
			☐ Sustainable Agriculture
			☐ Sustainable Pasture Management
			☐ Sustainable Forest/Woodland Management
			☐ Improved Soil and Water Management Techniques
			☐ Sustainable Fire Management
			☐ Drought Mitigation/Early Warning
		☐ Land Degradation Neutrality	
			☐ Land Productivity
			☐ Land Cover and Land cover change
			☐ Carbon stocks above or below ground
		☐ Food Security	
	☒ **International Waters**		
		☐ Ship	
		☐ Coastal	
		☐ Freshwater	
			☐ Aquifer
			☐ River Basin
			☐ Lake Basin
		☐ Learning	
		☐ Fisheries	
		☐ Persistent toxic substances	
		☐ SIDS : Small Island Dev States	
		☐ Targeted Research	
		☐ Pollution	
			☐ Persistent toxic substances
			☐ Plastics
			☐ Nutrient pollution from all sectors except wastewater
			☐ Nutrient pollution from Wastewater
		☐ Transboundary Diagnostic Analysis and Strategic Action Plan preparation	
		☐ Strategic Action Plan Implementation	
		☒ Areas Beyond National Jurisdiction	
		☐ Large Marine Ecosystems	
		☐ Private Sector	
		☐ Aquaculture	
		☐ Marine Protected Area	
		☐ Biomes	
			☐ Mangrove
			☐ Coral Reefs
			☐ Seagrasses
			☐ Polar Ecosystems
			☐ Constructed Wetlands
	☐ **Chemicals and Waste**		
		☐ Mercury	
		☐ Artisanal and Scale Gold Mining	

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		☐ Coal Fired Power Plants	
		☐ Coal Fired Industrial Boilers	
		☐ Cement	
		☐ Non-Ferrous Metals Production	
		☐ Ozone	
		☐ Persistent Organic Pollutants	
		☐ Unintentional Persistent Organic Pollutants	
		☐ Sound Management of chemicals and Waste	
		☐ Waste Management	
			☐ Hazardous Waste Management
			☐ Industrial Waste
			☐ e-Waste
		☐ Emissions	
		☐ Disposal	
		☐ New Persistent Organic Pollutants	
		☐ Polychlorinated Biphenyls	
		☐ Plastics	
		☐ Eco-Efficiency	
		☐ Pesticides	
		☐ DDT - Vector Management	
		☐ DDT - Other	
		☐ Industrial Emissions	
		☐ Open Burning	
		☐ Best Available Technology / Best Environmental Practices	
		☐ Green Chemistry	
	☐ **Climate Change**		
		☐ **Climate Change Adaptation**	
			☐ Climate Finance
			☐ Least Developed Countries
			☐ Small Island Developing States
			☐ Disaster Risk Management
			☐ Sea-level rise
			☐ Climate Resilience
			☐ Climate information
			☐ Ecosystem-based Adaptation
			☐ Adaptation Tech Transfer
			☐ National Adaptation Programme of Action
			☐ National Adaptation Plan
			☐ Mainstreaming Adaptation
			☐ Private Sector
			☐ Innovation
			☐ Complementarity
			☐ Community-based Adaptation
			☐ Livelihoods
		☐ **Climate Change Mitigation**	
			☐ Agriculture, Forestry, and other Land Use
			☐ Energy Efficiency
			☐ Sustainable Urban Systems and Transport
			☐ Technology Transfer
			☐ Renewable Energy
			☐ Financing
			☐ Enabling Activities
		☐ **Technology Transfer**	
			☐ Poznan Strategic Programme on Technology Transfer
			☐ Climate Technology Centre & Network (CTCN)

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			☐ Endogenous technology
			☐ Technology Needs Assessment
			☐ Adaptation Tech Transfer
		☐ **United Nations Framework on Climate Change**	☐ Nationally Determined Contribution
	☒ **Rio Markers**		
		☐ Paris Agreement	
		☒ Sustainable Development Goals	
		☐ Climate Change Mitigation 0	
		☒ Climate Change Mitigation 1	
		☐ Climate Change Mitigation 2	
		☒ Climate Change Adaptation 0	
		☐ Climate Change Adaptation 1	
		☐ Climate Change Adaptation 2	