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Empowered lives.
Resilient nations.

Initiation Plan / GEF PPG

Project Title: Protecting Yemen's Coastal and Marine Ecosystems through Protected Area Network, Habitat Restoration, and Community Co-management

Country: Yemen

Country Programme Outcome: *Outcome 1: "By 2025, people in Yemen, especially women, adolescents and girls and those in the most vulnerable and marginalized communities benefit from better, equal and inclusive access to nutritious food, sustainable and resilient livelihoods and environmental stability".*

Gender Marker rating: *GEN 2*

SES Pre-Screening Categorization: *Exempt*

Quantum Project ID: 01005282 Quantum Award ID: 1536408 PIMS number: 10396 Management Arrangement: *DIM*	**Total budget:** Allocated resources: • GEF • UNDP	**US$** US$ 100,000 US$ 50,000

AGREED BY

Zena Ali Ahmad	DocuSigned by: Zena Ali Ahmad A9BC21BC549E43F...	*Day/Month/Year*
UNDP Resident Representative[1]	Signature	Date: 02-Feb-2026

DS ST

DS Mk

[1] Edit as necessary. Include other Agency as necessary.

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

TABLE OF CONTENTS

I. Brief Description of the Initiation Plan/GEF PPG 3
II. Stakeholder Engagement, public disclosure, and other requirements 4
III. GEF PPG Activities 5
Component A: Preparatory Technical Studies & Reviews 5
Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement Request, and Mandatory and Project Specific Annexes 8
Component C: Validation Workshop and Report 10
IV. Total Budget and Work Plan for GEF PPG 11
V. GEF PPG Activities timeframe and budget 13
VI. Mandatory Annexes 14
Annex 1: GEF CEO PIF/PPG Approval Letter 14
Annex 2: Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG) 15

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

I. BRIEF DESCRIPTION OF THE INITIATION PLAN/GEF PPG

Objective & Final Outputs

The objective of the GEF PPG is to develop the project concept into a full project: Protecting Yemen's Coastal and Marine Ecosystems through Protected Area Network, Habitat Restoration, and Community Co-management. As described in the project concept, this project aims to enhance biodiversity conservation in Yemen's coastal governorates (Al-Mahra, Hadramaut, Lahj, and Taiz) by establishing protected area network, restoring critical coastal ecosystems, and empowering local communities. The project consists of the following components:

- **Component 1:** Strengthening coastal and marine ecosystem conservation in Yemen through the establishment of new Protected Areas. Establish and operationalise three new coastal Protected Areas (PAs) through community-inclusive governance models, supported by sustainable management plans and essential infrastructure.
- **Component 2:** Restoration of coastal ecosystem having high biodiversity conservation, economic, and adaptation value**.** Rehabilitate critical habitats, including mangroves, wetlands, and coral reefs, using community-led restoration approaches to enhance ecosystem services and climate resilience.
- **Component 3:** Blue and green livelihoods for coastal IPLCs contributing to biodiversity conservation and ecosystem restoration. Develop sustainable livelihood enterprises, such as ecotourism and responsible fisheries, to diversify local income and reduce pressure on natural resources.
- **Component 4:** Awareness campaign, knowledge management, and lessons learning. Implement gender-responsive awareness campaigns and systematise knowledge sharing to foster behavioural change and facilitate the replication of successful conservation models.

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

- PIF cleared for WP inclusion or GEF Council approved PIF (PFD and child project concept note for projects that are part of a program)
- SES pre-screening (of PIF)
- Comments from GEF Secretariat, Council, STAP
- Annotated UNDP-GEF Project Document Template and associated guidance included therein
- UNDP policies and procedures
- UNDP-GEF guidance notes on GEF project development (which will be provided by the RTA) and
- GEF policies, in particular, GEF polices on: Project Cancellation; Fee Policy for GEF Partner Agencies; Project and Program Cycle; and Minimum Fiduciary Standards for GEF Partner Agency (in particular sections dealing with the required separation of oversight and execution support services). All GEF policies are available here.

The final outputs of the GEF PPG are:

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

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

Any additional studies and other reports produced under the GEF PPG and not included in Annex to the project document will be submitted to UNDP and saved for future reference.

Key Dates for the GEF PPG

Milestone	Date	Notes
Internal submission date for BPPS review and clearance	*19 July 2026*	GBFF: within 8 months of PIF approval
First GEF Submission Deadline for CEO Endorsement	*19 August 2026*	GBFF: must be within 9 months of PIF approval
CEO Endorsement Deadline after which the project will be cancelled if not endorsed	*19 November 2026*	GBFF: must be within 12 months of PIF approval.

Management Arrangements

The UNDP *Yemen* will lead the project development process and manage the GEF PPG budget in full consultation with the BPPS VF unit and the Regional Technical Adviser. The GEF PPG Quantum budget is presented in *Section IV: Total Budget and Work Plan*.

As appropriate, a Working Group will guide the GEF PPG team and review and endorse the GEF PPG deliverables. The Working Group is responsible for ensuring that the deliverables outlined in this GEF PPG are completed on time and in line with UNDP and GEF requirements. The *UNDP Deputy RR* will chair the Working Group. Working Group members will include: *Technical experts of the UNDP Climate Change, Energy and Environment portfolio, and government partners, specifically:*

a. *Ministry of Water and Environment (Environment Protection Authority)*
b. *Ministry of Agriculture, Irrigation and Fisheries*
c. *Ministry of Planning and International Cooperation*
d. *Governorates in the targeted areas*

The GEF PPG team will be composed of the consultancies described in the draft Terms of Reference (TORs) in Annex 2.

II. STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE, AND OTHER REQUIREMENTS

To ensure strong country ownership and in line with the stakeholder engagement requirements outlined in UNDP's Social and Environmental Standards (SES), the SES Guidance Note of Stakeholder Engagement, the GEF's Guidelines on the Implementation of the Policy on Stakeholder Engagement and the GEF Policy on Gender Equality, the development of the project to be undertaken during this GEF PPG phase will be done in full consultation and close engagement with government, CSO and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project (i.e., direct project beneficiaries) and those who may be impacted (positively or negatively) by the project. Stakeholder Engagement and analysis must be conducted in an inclusive and gender-responsive manner so that the rights of women and men and the different

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structural barriers, knowledge, needs, roles, and interests of women and men are recognized and addressed.

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

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

1. A final validation workshop report will be prepared summarizing the outcomes of the validation workshop and other consultations undertaken during the PPG phase. This report will become a key reference document should an environmental and social complaint/grievance be filed during project implementation. This is mandatory for high and substantial risk projects and recommended for moderate risk projects.
2. The UNDP-GEF project document, SESP and related draft management plans and frameworks, and other relevant information/documents will be made available to the public on the UNDP Country Office website or open.undp.org. These documents should be available 30 days before the LPAC meeting for moderate risk projects, 60 days in advance for substantial risk projects, and 120 days in advance for high-risk projects.

See the SES Supplemental Guidance on Disclosure for more information.

III. GEF PPG Activities

Component A: Preparatory Technical Studies & Reviews

The following technical studies and reviews will be conducted.

a. Desktop and field-based studies and data collection

This research should produce the background information required to prepare the ProDoc (including its Annexes) and CEO Endorsement Request, including but not limited to the following:

- Development challenge and strategy (including threats, problems, and barrier assessment);
- Review of national policy and legislative frameworks;
- Problem and solution trees, assumptions and risks, developed in consultation with project stakeholders for a robust Theory of Change, Results Framework, and solid M&E plan;
- Review of relevant past and ongoing projects for lessons, including project evaluations; and
- Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members, and STAP.

b. Gender Analysis

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

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

c. Social and Environmental Standards: Screening and Assessments

The project has been exempted to prepare a pre-SESP as per the guidance for UNDP-GBFF project developments. However, a preliminary assessment of the concept note shows an overall risk categorization of this project as *Moderate, with* potential safeguards risks to be further assessed during the PPG phase. Given that the project includes support for establishing new coastal Protected Areas, ecosystem restoration interventions (mangroves, coral reef rehabilitation), and fisheries co-management activities across multiple sites whose specific technical design details will only be finalised following baseline studies and stakeholder consultations, a light Environmental and Social Management Framework (ESMF) will be prepared during the PPG stage.

An SES Framework –namely, the Environmental and Social Management Framework (ESMF) –will be prepared to ensure that the necessary assessments are carried out during project implementation. The standard templates are available in the UNDP SES Toolkit. The Framework(s) and ProDoc must clearly state that none of the associated project activities will commence until: the assessment(s) have been completed; the required management plan(s) have been prepared, and the plan(s) have been publicly disclosed and approved by the Project Board.

The ESMF will incorporate the findings of the targeted assessments to be undertaken during the PPG period, including a social assessment, gender analysis, biodiversity and ecosystem baseline surveys, climate vulnerability and risk assessment, and fisheries/livelihoods studies, which will collectively inform safeguards planning and management measures. Site-specific ESMPs will be developed during implementation once final technical designs and restoration methodologies have been confirmed.

d. Identification of project sites

Based on the above reviews and through consultation with stakeholders, the targeted project *(1) Bir Ali-Burum (Shabwah), (2) Sharmah – Jethmun (eastern Hadramaut), (3) existing Khor Ambikha PA (23 ha), and (4) the Bab al-Mandab-Al-Makha corridor (Taiz and Lahj* sites will be identified. However, the sites in Shabwah will likely be removed due to security accessibility, and replaced by another one in Al-Mahra.

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

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

f. Stakeholder analysis

Building on the initial identification of stakeholders in the concept note, an appropriately-scaled analysis of project stakeholders will be undertaken. This stakeholder analysis will provide the foundation for developing the project's Stakeholder Engagement Plan and facilitate the prioritization of engagement activities with particular stakeholder groups and individuals. Projects with pre-screening categorizations of Substantial or High will prepare a **comprehensive** stakeholder analysis. See the UNDP SES Guidance Note on Stakeholder Engagement.

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

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

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

Project management arrangements must be discussed and agreed upon early in the PPG phase and an assessment and selection of the most appropriate Implementing Partner and/or third parties (Responsible Parties) with full capacity to execute the project must be carried out.
During the first two months of the PPG phase:

- For all potential Implementing Partners, carry out capacity assessments to assess their capacity to implement the project and assess all related risks. This must include HACT and PCAT assessments[2].
- Discuss the level of co-financing the Government and Implementing Partner can commit to this project. As per GEF Policy, the GEF is seeking high co-financing to GEF grant ratios and expects the Government to significantly support the costs associated with project execution (i.e., PMC) for this project.
- Based on these assessments, select and confirm the Implementing Partner for the project in consultation with all relevant stakeholders. The selected Implementing Partner must express willingness to serve as the Implementing Partner for the Project, and the concerned government must agree to use the selected Implementing Partner for the Project. (Please see UNDP's Policy on Selecting Implementing Partners).
- If the Implementing Partner does not have full capacity to execute the project, and execution support is likely needed, discuss with the UNDP Resident Representative whether Implementing Partner is the correct choice. If not, select another Implementing Partner, if possible. If that is not an option, explore alternative options for providing execution support via Responsible Parties (see UNDP Policy on Selecting Responsible Parties). Discuss with the Implementing Partner the role of the responsible parties in project execution and the execution support these parties could provide.
- The GEF Policies on Minimum Fiduciary Standards require a separation of functions between project implementation (i.e., oversight) and project execution (which generally includes managing and administrating the day-to-day activities of projects in accordance with the legal agreements with the GEF). Oversight activities are the primary responsibility of the GEF Agency (i.e., UNDP). In contrast, the execution activities are the responsibility of the Executing Entity (i.e., the Implementing Partner and/or Responsible Party in UNDP terminology). While UNDP policy offers the possibility for UNDP to provide execution support to NIM or execute the project under a DIM modality in case there is a government request for such support, GEF policy only allows GEF Agencies to step into an execution role in 'exceptional circumstances', which are assessed on a case-by-case basis. Hence, whenever a project involves GEF funding, the exceptional circumstances where there is a clear and well-founded rationale for UNDP to perform certain execution functions **should always be well documented and transparently**

[2] Including mandatory procurement assessment and construction assessment when applicable

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

disclosed, discussed, and agreed upon with the GEF Secretariat at the project concept (PIF) stage before CEO Endorsement, regardless of whether the execution services are intended to be funded from the GEF grant or non-GEF resources. See the UNDP-GEF ProDoc template guidance for further information.

- Consult with the RTA on the latest guidance regarding UNDP providing support services to the Implementing Partner. If the costs for UNDP to provide support services are to be charged to the GEF project budget, the UNDP support services must be approved by the GEF Secretariat before CEO endorsement.
- Consult with CO Head of Procurement Unit/Operations Manager and Regional Procurement Advisors on envisaged procurement/contracting project procurement requirements, identified risks, development of optimal procurement strategies, development of project procurement plans and opportunities to incorporate sustainable procurement considerations and indicators to the project.

h. Other required studies

List any additional surveys and studies not captured above, as needed (e.g., socio-economic survey, feasibility studies, vulnerability assessments).

N/A

Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement Request, and Mandatory and Project Specific Annexes

Based on the technical studies and reviews undertaken under **Component A**, the UNDP-GEF Project Document will be developed, and the GEF CEO Endorsement Request will be prepared. See additional guidance notes below.

The GEF PPG Team Leader will be responsible for consolidating and finalizing all required materials.

a. Stakeholder Engagement Plan:

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

- Stakeholders who have been and will be engaged (based on stakeholder analysis), including potentially marginalized or disadvantaged groups/individuals and stakeholders that will be involved in particular project outputs/activities (the 'who');
- Key stakeholder objectives and interests (the 'why');
- Steps and actions to achieve meaningful consultation and inclusive participation, including information dissemination and any special measures required to ensure inclusive participation of marginalized disadvantaged groups/individuals the dissemination of information (the 'how');
- Breadth and depth of stakeholder engagement throughout the project cycle and decisions that need to be made through stakeholder engagement (the 'what');
- Timeline for engagement activities and how they will be sequenced, including information disclosure (the 'when');
- Indicators of stakeholder engagement and monitoring plan on progress and issues that arise;
- Roles and responsibilities for ensuring effective stakeholder engagement through the implementation of the Plan, including the role of stakeholder representatives and whether stakeholder engagement facilitators are required; and
- Resource requirements and associated budget.

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

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

See the UNDP SES Toolkit, which contains guidance on Stakeholder Engagement, the standard SEP template, and the GEF guidelines on stakeholder engagement.

b. Gender Action Plan and Budget

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

See the guidance available here.

c. Social and Environmental Standards: Screening and Management Measures

In line with the assessments conducted during **Component A** (above) and UNDP's Social and Environmental Standards (SES) policy and all associated SES Guidance Notes, the SESP will be updated. All risks identified in the SESP will be reflected in the risk table and risk section of the ProDoc, and in the Project's Risk Register.

The SES Framework(s) will identify the required management plans that will be prepared during project implementation.

Moderate option a: Based on the required targeted assessment(s), the relevant stand-alone management plan(s) will be prepared:

-
- **Site-specific Environmental and Social Management Plans (ESMPs)** for each restoration and protected area site
- **Stakeholder Engagement Plan (SEP)** including an accessible GRM
- **Gender Action Plan (GAP)** and associated GBV-sensitive measures integrated into community engagement and livelihoods activities

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

d. GEF and LDCF/SCCF Core Indicators

The CEO endorsement-stage data for the relevant Core Indicators and sub-indicators will be prepared. For GEF Trust Fund projects, the completed GEF-8 Core Indicators Worksheet - with both the original PIF-stage data and the CEO endorsement-stage data—will be annexed to the ProDoc. LDCF/SCCF projects will use the CCA Results Framework worksheet.

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

As part of the GEF Core Indicators requirement, the required METTs will be prepared in the GEF-7 Excel template; the relevant details will be included in the GEF-8 Core Indicators template, and the final Excel METT file will be submitted to UNDP (not be annexed to the ProDoc).

The relevant Core Indicators will be included in the project's Results Framework at the Objective level, where appropriate. See the GEF Guidelines on Core Indicators and Sub-indicators.

e. Completion of the required official endorsement letters

These letters include the official letters on the co-financing guarantee(s) from participating government institutions, bilateral development partners, multilateral development partners, NGOs, the private sector, or others who wish to provide cash or in-kind contributions to the project.

A GEF OFP endorsement letter will also be required for any new participating countries to a global or regional program/project not included in the PIF/PFD submission.

Updated GEF OFP endorsements letters are also required if the requested GEF grant amount has changed since PIF/PFD approval.

f. Mandatory Annexes

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

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

Upon a request from the RTA during the PPG implementation, the PPG team may be required to prepare additional annexes.

g. Project Management Arrangements

Based on the stakeholder analysis and consultations undertaken in **Component A** above, agreement(s) on project management and governance arrangements—including roles, responsibilities, and accountabilities of lead and partner Agencies—will be secured early in the project development phase and will be fully detailed in the ProDoc. Standard text from the governance and management arrangement from the GEF-8 template should never be removed.

Component C: Validation Workshop and Report

A validation workshop will be held with relevant stakeholders to present, discuss and validate the project activities and the final draft of the UNDP-GEF project document. A validation workshop report will be prepared for projects with an overall safeguards risk rating of moderate or high.

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

IV. TOTAL BUDGET AND WORK PLAN FOR GEF PPG

Please note the following:
Per UNDP policy:

- *TORs for key consultants and project personnel should follow UNDP procedures outlined in the POPP[3]. This includes the guidance in the POPP Procurement Chapter/Individual Contract section (please refer to: Individual Contract Policy. No "personnel" or project management costs can be charged to the Initiation Plan using GEF PPG resources; such costs should be borne by the requesting agency or co-financing. In all cases, no project "personnel" will give technical advice; international and national consultants will provide technical advice[4].*
- *Miscellaneous items should be considered very carefully and explained.*

Per GEF Policy, the following expenses are ineligible:

- *Costs associated with the work of government staff or regular project/program activities of a GEF Agency or a Project Executing Entity (EA).*
- *Non-project preparation costs, including: project start-up costs (i.e., costs covered by Agency Fee such as pipeline management, operationalization of the project, internal appraisal, or covered by the project budget); demonstration and pilot projects; implementation of large-scale enabling activities, including detailed country-wide inventories and country studies, training activities other than where they are directly related to project and/or country preparation and major research.*
- *Capital goods (e.g., computers and engineering equipment) other than those directly required for project preparation.*
- *Purchase of motorized vehicles (such purchase, if required, should instead be covered by co-financing amounts, not PPG*)

Quantum Project ID:	01005282	**Project Title:**	**PPG-Protecting Yemen's Coastal and Marine Ecosystems through Protected Area Network, Habitat Restoration, and Community Co-management**
Quantum Award ID:	1536408	**Award Title:**	**PIMS-10396- PPG-Protecting Yemen's Coastal and Marine Ecosystems through Protected Area Network, Habitat Restoration, and Community Co-management**
Business Unit :	YEM10		
PIMS number:	PIMS-10396		
Implementing Partner:	UNDP		

GEF Outcome/Quantum Activity	Responsible Party	Fund ID	Donor Name	Quantum Budgetary Account Code	QUANTUM Budget Description	Amount US$	Budget Notes
Project preparation grant to finalize the UNDP-GEF project document for project *PPG* Yemen's Coastal and Marine Ecosystems through Protected Area Network, Habitat Restoration, and Community Co-management	**UNDP**	**04000**	**TRAC**	71200	International Consultants	$50,000	1
					SUB-TOTAL TRAC	**$50,000**	
	UNDP	**62180**	**GBFF**	71200	International Consultants	$9,600	2
				72100	Contractual Services-Companies	$28,400	3
				71400	Contractual Services – Individuals	$40,000	4
				71600	Travel	$10,000	5
				74200	Audio Visual & Print Prod Costs	$5,000	6
				75700	Trainings, workshops	$7,000	7
					SUB-TOTAL GBFF	**$100,000**	
					PROJECT TOTAL	**$150,000**	

[3] See Annex 2 for Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG)
[4] For project non-staff personnel, the IPSA or NPSA contract modality will have to be leveraged which is an HR process, please see in the POPP International Personnel Services Agreement and National Personnel Services Agreement.

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

Budget Note No.	**Budget Note** *Budget note should detail the use of the use of the budget. For example, outputs/deliverables of the consultants must be clear. Include cost breakdown and calculation basis (e.g. daily fee and number of days/weeks, unit cost and quantity)*
1	International Project Development Specialist (GEF PPG Team Leader)- $850*50= $42,500 International Social and Environmental Safeguards Specialist $600*12.5 = $7,500 **TOTAL = $50,000 (TRAC)**
2	International Social and Environmental Safeguards Specialist $600*16 = $9,600 **TOTAL = $9,600 (GBFF)**
3	Contractual services by companies to provide specialists on Coast and Marine and Gender and Safeguard. **TOTAL = $28,400 (GBFF)**
4	NPSA – National Coordination Assistant: total = $40,000 **TOTAL = $40,000 (GBFF)**
5	Cost of travel to the target sites to go by Air/vehicle to the field. Total= $10,000 **TOTAL = $10,000 (GBFF)**
6	To cover printings of documents/banners/folders to support meetings. Total $5,000 **TOTAL = $5,000 (GBFF)**
7	A series of meetings/workshops comprising, technical meetings with the government institutions/partners for collecting data, information, analysis and validation; and for consultations with stakeholders, and final validation workshop of the Project Document: total $7,000 **TOTAL = $7,000 (GBFF)**

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

V. GEF PPG ACTIVITIES TIMEFRAME AND BUDGET

This section is optional

PPG Activity	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Budget (US$)
Component A: Technical studies, etc.											93,000
Component B: Formulation of ProDoc, etc.											40,000
Component C: Validation Workshop											17,000
Delivery of final outputs											150,000

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

VI. MANDATORY ANNEXES

Annex 1: GEF CEO PIF/PPG Approval Letter



M.Sc. Carlos Manuel Rodriguez
CEO and Chairperson

November 19, 2025

Ms. Nancy Bennet
GEF Executive Coordinator
United Nations Development Programme (UNDP)
New York City, USA

Dear Ms. Bennet,

I am pleased to inform you that I have approved your request for Project Preparation Grant for the project concept detailed below.

Decision Sought:	Project Preparation Grant Approval
GEFSEC ID:	12008
Agency(ies):	UNDP
Agency ID:	10396 - UNDP
Focal Area:	Biodiversity
Project Type:	GBFF project
Country(ies):	Yemen
Name of Project:	Protecting Yemen's Coastal and Marine Ecosystems through Protected Area Network, Habitat Restoration, and Community Co-management
Indicative GEF Project Financing:	$3,374,775
Indicative Agency Fee:	$320,604
PPG:	$100,000
PPG Agency Fee:	$9,500
Funding Source:	Global Biodiversity Framework Fund

Break-down:		Project Financing Amount (US$)	Agency Fee (US$)				Total Project Cost (US$)
Agency	Trust Fund		20% committed at CEO endorsement (US$)	50% to be committed at first disbursement (US$)	30% to be committed at mid-term review (US$)	Total Agency Fee (US$)	
UNDP	GBFF	3,374,775	64,121	160,302	96,181	320,604	3,695,379
Total		**3,374,775**	**64,121**	**160,302**	**96,181**	**320,604**	**3,695,379**

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www.thegef.org

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

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

If appropriate and helpful, please use this guidance to support the preparation of PPG TORs. The cost per consultancy week and number of weeks provided below are indicative only and should be revised.

Position, Type, and Cost	Role, Deliverables and Qualifications
Consultant 1: International Project Development Specialist (GEF PPG Team Leader) **Type:** IC **Cost per person day:** 850 **Number of person days needed:** 50	**Role** *The International Project Development Specialist will be the GEF PPG Team Leader and will be responsible for quality assurance and timely preparation of all reports and documentation, including the finalized UNDP Project Document (ProDoc) and CEO Endorsement Request, with all mandatory and project specific Annexes and supporting documentation. S/He will also assume the PPG Team Leader role by coordinating with the PPG team of international and national consultants.* **Responsibilities and Deliverables** 1) Management of the GEF PPG Team a. Define and submit a detailed methodology and work plan in consultation with the other consultants with clear delegation of responsibilities for the International Consultant (IC) and National Consultants (NCs); b. Ensure that project development is participatory, gender-responsive and based on extensive stakeholder engagements; and c. Verify and ensure that all project components are technically sound and cost effective. 2) Preparatory Technical Studies and Reviews (Component A): With inputs from the national consultants, as detailed in their respective TORs: a. Compile baseline/situational analysis for the full-size project (FSP). This will include a precise definition of baseline projects, activities, budgets, goals, and co-financial links to GEF outcomes; a definition of GEF incremental value per outcome and output; and a presentation of results of the incremental cost-analysis in matrices as appropriate; b. Lead and oversee the stakeholder analysis and consultations, with support from national consultants, and ensure that they are complete and comprehensive, including consultations with the private sector and tourism associations and bodies; c. Ensure the preparation of the gender analysis and ensure its findings are meaningfully integrated into the project's strategy, theory of change, and results framework; d. Ensure action points, including risk assessments, from the SES pre-screening (prepared at the concept stage) are fully implemented during the PPG, and update that screening in an iterative process throughout the PPG, and as appropriate; e. Oversee the identification of the project sites, with documentation of selection criteria and making sure that geo-referenced data and maps are clearly presented both for targeted protected areas and broader landscapes, as applicable; f. Ensure the design of appropriate project knowledge management processes and platforms, ensuring appropriate linkages to existing mechanisms and knowledge sharing in project landscapes;

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

	g. Lead and oversee the identification of opportunities for private sector engagement and co-financing; h. Ensure the preparation of partner capacity assessments and discussions on management arrangements early in the PPG process; i. Oversee the consultations with partners regarding financial planning; and j. Ensure completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs. 3) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B)</u>: With inputs from the national consultants, as detailed in their respective TORs, and based on international best practice: a. Develop, present and articulate the project's theory of change; b. Develop the Results Framework in line with UNDP-GEF policy; c. Develop a detailed Monitoring and Evaluation Plan and Budget; d. Oversee and ensure the preparation of a comprehensive Stakeholder Engagement Plan; e. Oversee and ensure the preparation of a Gender Action Plan and Budget; f. Oversee and ensure the updating of the SESP based on assessments undertaken during Component A, and ensure the development of required environmental and/or social management plan(s) as required; g. Oversee the preparation of the required GEF tracking tools (if required) and GEF Core Indicators and ensure these are supported by robust and validated data; h. Secure all co-financing letters; i. Prepare the indicative procurement plan; j. Secure and present agreements on project execution and management arrangements and ensure that the project aligns to UNDP-GEF guidance on UNDP execution support; k. Ensure the completion of the required official endorsement letters; and l. Synthesize all analyses, studies, etc. that are prepared under Components A and B to produce the draft UNDP-GEF ProDoc, GEF CEO Endorsement, and all mandatory and project specific Annexes, using the templates.[5] 4) <u>Validation Workshop (Component C)</u>: a. Lead the validation workshop to present, discuss and validate the final draft ProDoc and mandatory and project specific annexes, with a special focus on the SESP and any management plans; b. Oversee all necessary revisions that arise during the workshop; and c. Ensure completion of Validation Workshop Report. 5) <u>Final Deliverables</u>: a. Consolidation of all technical and consultation inputs and comments including from national stakeholders, UNDP, GEF Secretariat, STAP and GEF Council, into a well written and concise UNDP ProDoc with all required sections and Annexes, in line with the standard UNDP-GEF ProDoc template and annotated guidance; b. Completion of the GEF CEO Endorsement Request; c. Finalized SESP (and SES management plans as required); d. All documentation from GEF PPG (including technical reports, meeting minutes, etc.); and e. Validation Workshop Report.

[5] Please verify with the UNDP-GEF team that the correct templates are being used.

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

	Qualifications ▪ Master's degree or higher in a relevant field, such as *Biology, Ecology, Coastal and Marine Sciences, or any other environment-related fields* ▪ Minimum *7* years of demonstrable experience in the technical area of *Biology, Ecology, Coastal and Marine Sciences, or any other environment-related fields* and in preparing high quality project documents, particularly for UNDP and GEF projects; ▪ Excellent written and oral communication skills in English; ▪ Demonstrated understanding of the GEF rationale and procedures, and demonstrated experience in formulation of GEF-funded project proposals, using the logical framework and the results-based management approaches; ▪ Knowledge of and experience in *Biology, Ecology, Coastal and Marine Sciences* ▪ Experience working in *fragile context countries and/or Arab region* on similar related initiatives highly desired.
Consultant 1: **2** International Social and Environmental Safeguards Specialists **Type:** IC **Cost per person day:** 600 **Number of person days needed:** 28.5	**Role** The International Safeguards Expert will develop mandatory project Annexes related to application of social and environmental safeguards and support adherence of project development to UNDP's SES and specific requirements, as appropriate, including by making recommendations for integration of SES into project design. The SES Expert will also support the GEF PPG Team Leader in ensuring the coherence and consistency of the final versions of stakeholder engagement plan and gender analysis and action plan elaborated by the national expert. **Responsibilities and Deliverables** a. Support action points, including risk assessments, and ensure they are incorporated into the SESP to be developed iteratively during the PPG. b. Support completion of any additional studies that are determined to be needed for the preparation of the SESP and other SES instruments including a Process Framework and/or Livelihoods Action Framework. c. Prepared and finalized the SESP. d. Prepare Environmental and Social Management Framework (ESMF) with all required annexes, including outlines of all required safeguards plans as well as a Term of Reference for the contracting of experts for the preparation of these safeguards plans at the beginning of the project implementation; the ESMF must include a detailed plan for delivery with an itemized budget that must also be integrated with the Total Budget and WorkPlan in the main project document; e. Conduct initial policy and institutional gap analysis for a SESA, with the results included in the ESMF, and scope out the work that will be needed to conduct the full SESA during implementation. f. Oversee the development of the stakeholder analysis and the Stakeholder Engagement Plan (SEP) and gender analysis and action plan (GAAP) by the

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

	respective national consultants, and ensure preparation of high-quality documents based on their inputs; g. Develop a project-level Grievance Redress Mechanism h. Contribute to the validation workshop; and support all necessary revisions that arise during the workshop, as appropriate. 1. <u>Final Deliverables</u>: a. Finalized Social and Environmental Screening Procedure (SESP) b. Environmental and Social Management Framework (ESMF) with annexes and frameworks/management plans as appropriate, such as the Livelihoods Action Framework and/or Process Framework, and Indigneous Peoples Framework or locally equivalent as applicable c. Comprehensive Stakeholder engagement plan (final version, based on inputs from national consultants), including project-level GRM d. ToRs for the contracting of a consultancy for the preparation of all required safeguards plans and documents at the beginning of the project implementation Qualifications • Master's degree or higher in a relevant field, such as environmental science, political science, social science, natural resources management and conservation or related field. • Minimum 7 years of demonstrable experience in the area of social and environmental assessments; experience with UNDP SES policy is a distinct advantage. • Fluency in written and spoken Arabic and English.
<u>Consultant:</u> *National Coast and Marine Consultants* **Type:** NC-RLA **Cost per person-day:** 355 **Number of person-weeks needed: 50**	***Role*** The Objective of this consultancy is to carry out the necessary survey work, assessments, consultations, and other data collection, and contribute the development of the full-sized GEF project document. The National Coast and Marine consultant will work closely with the PPG Team Leader, International SES Expert, and PPG team members and will provide the data and information from the ground, findings of the consultations with local communities and the government, and results from various on-site assessments. **Deliverables** a. <u>Baseline studies and analysis</u> • Start from the information provided in the PIF, collect all background information on policies, related regulations, strategies, planning documents on biodiversity, protected area, ecosystem restoration and land management.

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

	• Collect all baseline information on the ongoing and past projects related to terrestrial and marine biodiversity, protected area, ecosystem restoration and land management in Yemen. Contributing to analyses on gender situation, preliminary livelihoods assessment to characterize the current use of ecosystems and areas targeted by the project. • Contribute to the spatial assessment of forest areas, land use, degraded areas, and emission factors with ground truthing. • Contribute to detailed barrier analysis for each of the activities to be addressed in the project. • Survey potential stakeholders and beneficiaries (community leaders, farmers,) at the local level and assess their level of interest and willingness to engage with the project. • Identify pilot sites for project implementation in discussion with the PPG Team Leader and UNDP team. • Evaluate current policies and community and national level procedures aimed at conservation of land and biodiversity. • Support the assessment of the options available for the investment component of the project taking into consideration the stakeholders and pilot locations and projects. • Assess the dependency of the communities on the mangrove forests & coastal and estimate rates of degradation, and the resultant losses to local communities and economies. • Lead the assessment of environment, social, economic and financial benefits and disadvantages of each alternative with the PPG Team Leader, UNDP team and the government. • Provide recommendations on best and most suitable sustainable livelihoods activities and best land and biodiversity management practices. b. <u>Project Design and Preparation of the full-sized project document</u> • Participate fully in the formulation of the project Objective, Outcomes, Outputs and Activities as well as Baselines, Targets and Indicators; contribute to sustainability and replication plans, stakeholder participation plans, and budgets such Total Budget and Workplan. • Participate in detailed incremental cost analysis to justify GEF intervention under the project. • Participate in costing of expected project outcomes, outputs and activities. • Present the proposed interventions of the project at the project validation workshop. • Provide inputs to revise the draft project document to address the comments/suggestions made by UNDP/GEF RTA and HQ, GEF Sec, and other reviewers; **Final Deliverables:** • UNDP ProDoc information and details with all required sections and Annexes, in line with the standard UNDP-GEF ProDoc template and annotated guidance; ***Qualifications*** ▪ *Master's degree or higher in a relevant field, such as environment, marine sciences, and biodiversity* ▪ *Minimum 7 years of demonstrable experience in the technical area of coasts and marines* ▪ *Prior experience in conducting assessments for coastal and marine areas*

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

	▪ *Proven knowledge in the protected areas* ▪ *Excellent written and oral communication skills in English*
Consultant: *National Gender and Safeguard Specialist* **Type:** NC- RLA **Cost per person-day:** 355 **Number of person-days needed:** 30	***Role*** *The National Gender and Safeguards Specialist will develop mandatory project Annexes related to application of social and environmental safeguards and support adherence of project development to UNDP's SESP and specific requirements, as appropriate. The consultant will be a gender and social inclusion expert with experience in-depth gender analysis and local community engagement.* ***Deliverables*** *1) Preparatory Technical Studies and Reviews (Component A): Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Team Leader, including:* *a. Review the SES pre-screening of the PIF; complete the UNDP Social and Environmental Screening Procedure (SESP), and support the detailed assessment of all project risks including consultations with local stakeholders;* *b. Assess presence of Indigenous Peoples/ethnic minorities within project landscapes and their interests. If present, assess potential impacts of the project on rights and interests, lands, territories, resources, and traditional livelihoods and determine when FPIC applies in accordance with national contexts and preferences. Carry out consultations with communities at demonstration landscape to assess level of understanding and capacity to give consent, and identify community preferences for FPIC process. Based on these assessments, and if relevant, integrate relevant matters as needed including FPIC into project design and into the comprehensive Stakeholder Engagement Plan;* *c. Prepare the gender analysis and action plan and work closely with the GEF PPG Team Leader to ensure its findings are meaningfully integrated into the project's strategy, theory of change and results framework;* *d. Advise on gender responsive stakeholder analysis and consultations and ensure that they are complete and comprehensive; and* *e. Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader.* *2) Formulation of the ProDoc, CEO Endorsement Request and Mandatory Annexes as well as project specific annexes (Component B):* *a. Complete the SESP, based on assessments undertaken during Component A and detailed development of project interventions, and identify management measures to mitigate risks to be incorporated into the ProDoc;* *b. Prepare the Gender Mainstreaming Plan, with appropriate budget and identification of appropriate project interventions to ensure gender mainstreaming including at project demonstration sites;* *c. Using the findings from the gender analysis, provide inputs to the project's results framework and theory of change; ensure gender considerations are integrated into the project's theory of change;* *d. Provide inputs for the development of the Stakeholder Engagement Plan to ensure it is Socially Inclusive and Gender Responsive;* *e. Prepare the Gender Action Plan and Budget;* *f. Support the agreements on project management arrangements and ensure that gender and safeguards are adequately incorporated into these arrangements.*

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

	3) <u>Validation Workshop (Component C):</u> *a. Contribute to the validation workshop; and* *b. Support all necessary revisions that arise during the workshop, as appropriate.* *4) <u>Final Deliverables:</u>* *a. Finalized Social and Environmental Screening (SESP)* *b. Gender Analysis and Gender Mainstreaming Plan* *c. Appropriate inputs to the comprehensive Stakeholder Engagement Plan including on gender-responsive consultation and consultations with local communities and any Indigenous Peoples or Ethnic Minorities present within the demonstration landscape;* *d. Appropriate inputs to the final UNDP-GEF project document based on guidance from the PPG Team Leader.* ***Qualifications*** ▪ *Master's degree or higher in a relevant field, such as gender studies, gender and development, women and environment, or women and sustainable development;* ▪ *Minimum 7 years of demonstrable experience in the technical area of gender mainstreaming, community development, and social and environmental safeguards risk assessment and mitigation;* ▪ *Experience carrying out participatory gender analysis; experience collecting and formulating gender responsive indicators and sex-disaggregated data and preparing gender responsive project analysis; developing gender action plans;* ▪ *Prior experience in the safeguards assessments and processes of international organizations and donors, such as World Bank, UNDP, etc;* ▪ *Demonstrated understanding of the links between sustainable development, social and gender issues;* ▪ *Demonstrated experience working on policy and programmatic issues with national and local governments and civil society organizations including community organizations;* ▪ *Demonstrated experience in carrying out consultations with Indigenous Peoples, FPIC, protection of cultural heritage, and/or community engagement is highly desired;* ▪ *Experience with project development and results-based management methodologies is highly desired;* ▪ *Excellent analytical, writing, advocacy, presentation, and communications skills are required; and* ▪ *Excellent written and oral communication skills in English and fluency.*
<u>Contractual Services:</u> *Coordination Assistant* **Type:** NPSA	***Role*** *He/she will ensure proper coordination to implement all activities on time, including meetings, workshops, and facilitate communication between stakeholders.* • *Provide coordination, organizing and monitoring to the activities* • *Provide coordination for procurement, contracts, travel, logistics, workshops and meetings* • *Support recruitment of consultants and review deliverables* • *Communicate with government agencies, private sector, NGOs, and communities to provide all needed support* • *Track all activities and results against indicators* • *Prepare progress report, and minutes* • *Support budgeting, financial tracking, and expenditure monitoring*

Docusign Envelope ID: 49561EF1-5E74-4E6B-ADDB-6E927909E582

	Qualifications ▪ *Bachelor's degree in environment, business administration, or finance* ▪ *Minimum 2 years of demonstrable experience in coordination* ▪ *Minimum 1 year of experience in administration* ▪ *Proven knowledge in biodiversity and stakeholder engagement is desirable* ▪ *Excellent written and oral communication skills in English and fluency in*