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# Initiation Plan / GEF PPG

**Project Title: PPG - Towards the transboundary Integrated Water Resource Management (IWRM) of the Sixola River Basin shared by Costa Rica and Panama**

**Country: Costa Rica, Panama**

**Country Programme Outcome:** Outcome 2: Capacities for inclusive and sustainable development with a focus on environmental sustainability

**UNDP Strategic Plan Output:** Output 2.5. Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation

**Country Programme Outcome:**

**UNDP Strategic Plan Output:** choose either 1.3 or 1.4 or 1.5 or 2.5

Output 1.4.1 Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains

**Gender Marker rating:** choose either GEN 2 or GEN 3

**SESP Pre-Screening Categorization:** Moderate

ATLAS Project ID: 00119644  ATLAS Output ID: 00116095  PIMS ID: 6373  Management Arrangement: DIM	<table> <tr> <td><b>Total budget:</b></td> <td><b>US\$150,000</b></td> </tr> <tr> <td><b>Allocated resources:</b></td> <td></td> </tr> <tr> <td>• GEF</td> <td>US\$ 150,000</td> </tr> </table>	<b>Total budget:</b>	<b>US\$150,000</b>	<b>Allocated resources:</b>		• GEF	US\$ 150,000
<b>Total budget:</b>	<b>US\$150,000</b>						
<b>Allocated resources:</b>							
• GEF	US\$ 150,000						

AGREED BY

UNDP Resident Representative

*[Handwritten Signature]*  
Signature

13 / 06 / 2019  
Day/Month/Year  
Date



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## 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: “Towards the transboundary Integrated Water Resource Management (IWRM) of the Sixaola River Basin shared by Costa Rica and Panama”. As described in the project concept (PIF/child project concept note), this project aims to *strengthen transboundary multi-stakeholder action in the Sixaola River Basin shared by Costa Rica and Panama to restore riverine and coastal ecosystems, reduce pollution from agricultural production and reduce risks from hydrometeorological disasters.*

The following documents are to be consulted as background for the GEF PPG phase:

- PIF cleared for WP inclusion or GEF Council approved PIF
- SESP pre-screening (of PIF)
- Comments from GEF Secretariat, Council, STAP
- [Annotated UNDP-GEF Project Document Template](#) and associated guidance included therein

The final outputs of the GEF PPG are:

1. UNDP-GEF Project Document (ProDoc), using the latest standard template available.
2. Mandatory annexes to the ProDoc, including gender analysis and action plan, and stakeholder engagement plan, among others, and project specific annexes (e.g. landscape profile, institutional and legal analysis, feasibility studies etc).
3. GEF CEO Endorsement Request.
4. Validation Workshop report (as appropriate for projects with a moderate and high SESP risk rating).

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
<b>Internal submission date</b> for UNDP-GEF review and clearance	13 April 2020	Must be at least two (2) months prior to CEO Endorsement Deadline
<b>CEO Endorsement submission Deadline</b> after which the project will be cancelled.	13 June 2020	Failure to submit a ProDoc and CEO ER to the GEF Sec by this deadline will lead to the automatic cancellation of the project by the GEF Secretariat.

### **Management Arrangements**

The UNDP in Costa Rica will lead the project development process and manage the GEF PPG budget in full consultation with the UNDP-GEF Technical Adviser. The GEF PPG Atlas budget is presented in *Section IV: Total Budget and Work Plan.*

As appropriate, a Working Group will guide the GEF PPG team, and review and endorse the GEF PPG deliverables. The Working Group is responsible for ensuring that the deliverables outlined in this GEF PPG are completed on time and in line with UNDP and GEF requirements. The UNDP CO programme officer will chair the Working Group. Working Group members will include: the country office, government partners, key stakeholders and RTA.

The GEF PPG team will be composed of the following:

- 1) International Specialist for Project Development (Team Leader)
- 2) National or International Specialist in *Ecosystems and Water Resources Management*
- 3) National or International Specialist in *Gender, Stakeholders Engagement and Participation*

- 4) *National or International Specialist in Legal and Regulatory Frameworks*
- 5) National or International Specialist in Early Warning Systems
- 6) National or International Specialist in Social and Environmental Safeguards

*Align the above list of consultants with the draft TORs in Annex 2.*

Draft Terms of Reference (TORs) for each team member is included in Annex 2 of this Initiation Plan.

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## 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 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). A list of these stakeholders will be prepared and included in Annex to the project document.

If the Social and Environment Screening Procedure (SESP) included in Annex to the project document, has an overall safeguard risk rating of moderate or high, 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 must demonstrate strong country ownership and will become a key reference document should an environmental and social safeguard complaint/grievance be filed during project implementation.
2. Before CEO endorsement (if appropriate given the GEF cancellation policy) or at the latest by the LPAC meeting, the UNDP-GEF project document, SESP and related management plans, and other relevant information/documents (e.g. ProDoc annexes) will be made available to the public on the UNDP website or [open.undp.org](http://open.undp.org). It is recommended to make these documents available for 30 days in advance of the LPAC meeting for moderate risk projects, and 120 days in advance for high risk projects.

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## III. GEF PPG ACTIVITIES

### Component A: Preparatory Technical Studies & Reviews

The following technical studies and reviews will be conducted, building on the PIF and the comments received to the PIF (e.g. from GEF Council and STAP).

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

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

- Development challenge and strategy (including threats, problems and barrier assessment);
- Review of national policy and legislative frameworks;
- Problem and solution trees developed in consultation with project stakeholders, for a robust Theory of Change (to be prepared in **Component B**, below);
- Review of relevant past and ongoing projects for lessons; and
- Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members and STAP

The PPG will include the following studies based on the ecological and socio-economic context of the Sixaola river basin, the PPG team will be in charge of raising useful information to prepare, among others, the following information that will be the bases for designing the ProDoc:

1) Preliminary information gap and barriers analysis for further definition of project components, including a Transboundary Diagnostic Analysis (TDA) and its Strategic Action Programme (SAP). The PPG will finance the collection and preliminary analysis of information on key aspects of the project in order to define requirements for the TDA and SAP, and further understanding of the Sixaola river basin dynamics and relevant policy and institutional frameworks in both countries, in particular with regards to governance, water resources management, and riverine and coastal ecosystems. The focus will be on identification of information gaps and in undertaking a barrier analysis. The following information will be collected: i) Characterization of the Sixaola river basin in relation to activities carried out and water resources management in the area; ii) Assessment of existing natural or human related threats to the Sixaola river basin from land based activities in both countries; iii) Characterization of the governance structures, including relevant legal and institutional frameworks; vi) Analysis of relevant ongoing programmes and initiatives in all countries by governments and other stakeholders. *(This activity is to be undertaken by Lead consultant, with inputs from consultant's team and assessments required below).*

2) Assessment on the status of ecosystems and water resources in the Sixaola river basin. This assessment will include a detail analysis on: i) environmental impacts to water resources and ecosystems within the Sixaola river basin, ii) detailed analysis about surface and groundwater resources, as well as existing pollution levels, with an inventory/map of critical areas, iii) analysis and prioritization of polluting sources per sector, including mapping of these sources, iv) assessment of any other existing threats to surface and ground water in the Sixaola River basin, v) analysis of the efficiency of already existing measures to protect water resources at the municipal, national and transboundary level, vi) analysis of the usage (supply and demand) on the Sixaola River basin, from both countries. *(This activity will be carried out by the Expert in Ecosystems and Water Resources).*

3) Assessment of existing policies, legal and regulatory frameworks for water resources management in in both countries. The assessment should include an i) analysis on the articulation between both countries and different public entities involved in the integrated management of water resources in the river basin, ii) analysis on existing policies or regulations about wastewater treatment in both countries, especially in areas of project interventions. *(This activity will be carried out by the Expert on legal, and regulatory frameworks).*

4) Assessment on Early Warning Systems in the Sixaola River Basin. The assessment would make a detailed analysis of the existing early warning system in the region, it's potential for strengthening and use of innovative technologies for its correct application, and future activities to enhance community empowerment and appropriation of the system *(This activity will be carried out by an Expert on Early Warning Systems).*

5) Assessment of capacity needs, institutional strengthening and participation for development and application of tools and mechanisms for the integrated water management in the Sixaola river basin. PPG resources will be used to define how the project can most effectively support the capacities of relevant government agencies in both countries, to generate and use integrated information systems and other tools to support decision-making processes within and inter-sectoral framework, critical to conduct the TDA and implement the SAP. The following PPG activities will be undertaken: i) Stakeholder analysis at regional, national and subnational levels, including private sector, civil society and academic institutions and definition of gaps and capacity building needs for integrated water management; and ii) Corresponding definition of priority areas and alternative strategies for institutional strengthening in key government and partner institutions. *(This activity is to be undertaken by the Expert in Ecosystems and Water Resources, Expert on Early Warning Systems, the Gender and Stakeholders Engagement and Participation expert, with guidance from the Lead consultant and support from the SESP expert).*

#### **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.) given a project's context, and to identify appropriate measures to address these and promote gender equality and women's empowerment. The analysis will form the basis of a Gender Action Plan

and Budget to guide gender mainstreaming during project implementation. The Gender Analysis, and the Gender Action Plan and Budget must be attached as Annexes to the Project Document. See guidance available [here](#). (*This activity will be carried out by the Gender, Stakeholders and Participation Specialist*).

#### **c. Environmental and Social Safeguard Assessments**

The social and environmental safeguards pre-screening (pre-SESP) prepared during the PIF design phase determined the overall risk categorization of this project as **Moderate** and highlighted potential safeguard risks to be further assessed during the PPG phase.

The purpose of these assessments is to identify ways to avoid negative environmental and social impacts where possible (e.g., through site selection). If risk avoidance is not possible, then mitigation and management measures must be identified, in line with the UNDP Social and Environmental Standards (see section B-f below). If the required assessments cannot be undertaken or finalized during the PPG, they must be completed during the first phase of project implementation. (*This activity will be carried out by the Expert in Social and Environmental Safeguards*)

#### **d. Identification of project sites**

Based on the above reviews, and through consultation with stakeholders, the targeted project will identify four **pilot projects** to stimulate collaborative work and build experience and confidence for later SAP implementation.

#### **e. Financial planning**

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.

### **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** (detailed above), the full UNDP-GEF Project Document will be developed (following latest template available of annotated UNDP-GEF Project Document available [here](#)), and the GEF CEO Endorsement Request (available [here](#)) will be prepared.

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

Preparation of the UNDP-GEF ProDoc includes a specific focus on the following areas, which do not exhaustively capture the required ProDoc content:

#### **a. Theory of Change**

The detailed theory of change (ToC), based on the studies and data collection undertaken in **Component A**, will be developed. The selected approach will be identified, with a clear rationale backed by credible evidence, integrating gender concerns into the approach. Additional guidance is available in the Annotated UNDP-GEF ProDoc template.

#### **b. Results Framework**

Based on the studies and data collection undertaken in **Component A**, the Results Framework will be further defined with appropriate Objective-level and Outcome-level quantitative and qualitative SMART indicators and mid-term and end-of-project targets. It will be designed in line with the following parameters:

- Do not include outputs or activities in the results framework. Outputs and corresponding indicators can be included in the results section and/or in Annex to the project document.
- Prepare a maximum of 2-3 indicators for the Objective and each Outcome. Aim to keep the total number of indicators in the results framework (and that require annual reporting to the GEF) to 15-16.
- Give special attention to include gender-responsive outcomes and other socio-economic benefits.
- Collect baseline data for each indicator using existing national sources when feasible.

- Disaggregate indicators by sex, including number of direct project beneficiaries.
- Set realistic mid-term targets and end-of-project targets that can be achieved by project closure.
- Summarize risks and assumptions, and sources of verification/data.

See the annotated UNDP-GEF Project Document template for additional guidance on developing the Results Framework.

**c. Monitoring and Evaluation (M&E) Plan and Budget**

The on-the-ground monitoring could be undertaken by national institutes/universities as appropriate. Clarify the roles of various groups involved in project M&E, how project-level monitoring links with data collected at the national level, and specify the frequency of monitoring. Specify monitoring tools to be used; clarify responsibilities for completing the mid-term and terminal GEF Tracking Tools (see below). Complete the M&E budget included in the UNDP-GEF Project Document noting that the total budget should be between 3-5% of the GEF grant.

**d. Stakeholder Engagement Plan**

Based on the consultations undertaken during the PPG phase, a Stakeholder Engagement Plan will be developed. As per Pre-SESP, FPIC and an Indigenous People Analysis and Action Plan should be carried out.

**e. Gender Action Plan and Budget**

Based on the Gender Analysis conducted in **Component A**, the Gender Action Plan and Budget will outline the gender-specific outputs to be delivered during project implementation in order to promote gender equality and women’s empowerment and to ensure that inequalities are not exacerbated. As part of the work of preparing the Gender Action Plan, indicators should be proposed for inclusion in the Results Framework to facilitate the monitoring of the proposed gender mainstreaming actions.

**f. Social and Environmental Standards**

In line with the assessments conducted during **Component A** (above) and in line with [UNDP’s Social and Environmental Standards \(SES\) policy and all associated SES Guidance Notes](#), the SESP will be finalized and all moderate and high risks identified in the SESP will be reflected in the risk table and risk section of the project document.

Mitigation and management measures for moderate and high risks will be developed and included in the project document, or included as a separate management plan in Annex to the project document, as required per UNDP’s SES. If the mitigation and management measures cannot be fully detailed at the PPG phase (e.g., sites have not been determined), an environmental and social management framework (ESMF) will be prepared outlining the steps to be taken during the first phase of project implementation to address the moderate and high risks. The 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; the plan(s) have been disclosed and approved by the Project Board.

**g. GEF Core Indicators**

The required GEF Core Indicators will be prepared, in line with the relevant GEF objectives, and included as an Annex to the ProDoc and CEO Endorsement Request. Indicators from the GEF Tracking Tools can be included in the Results Framework as appropriate. See the [GEF’s website](#) for the most up-to-date templates as these may change.

**h. 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.

**i. Completion of the required official endorsement letters**

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

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

**Component C: Validation Workshop and Report**

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



#### IV. TOTAL BUDGET AND WORK PLAN FOR GEF PPG

<b>Award ID:</b>	00119644
<b>Award Title:</b>	PPG IWRM Sixaola
<b>Business Unit:</b>	CRI10
<b>Project ID:</b>	00116095
<b>Project Title:</b>	PPG IWRM Sixaola
<b>Project (PIMS) ID:</b>	6373
<b>Implementing Partner:</b>	UNDP Costa Rica

GEF Outcome/Atlas Activity	Responsible Party	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$	Budget Notes
Project preparation grant to finalize the UNDP-GEF project document for project "Towards the transboundary Integrated Water Resource Management (IWRM) of the Sixaola River Basin shared by Costa Rica and Panama"	UNDP	62000	GEF TRUSTEE	71200	International Consultants	<b>56,400</b>	<b>A</b>
				71300	Local Consultants	<b>38,400</b>	<b>B</b>
				71600	Travel	<b>30,000</b>	<b>C</b>
				72500	Supplies	1,000	D
				74500	Miscellaneous Expenses	<b>2,000</b>	<b>E</b>
				75700	Trainings	<b>22,200</b>	<b>F</b>
<b>PROJECT TOTAL</b>						<b>150,000</b>	

Budget Note	Items	Total estimated person weeks	Budget	Budget Note
A	International Project Development Specialist (GEF PPG Team Leader)	15 weeks distributed in 12 months	30,000	Please see Annex 2 for key responsibilities.
	Expert in Social and Environmental Safeguards	12 weeks distributed in 12 months	14,400	
	Expert in Early Warning Systems	12 weeks distributed in 12 months	12,000	
B	Expert in Ecosystems and Water Resources Management	12 weeks distributed in 12 months	12,000	
	Expert in Legal and Regulatory Frameworks	12 weeks distributed in 12 months	12,000	
	Gender Stakeholder Engagement and Specialist	15 weeks distributed in 12 months	14,400	
C	3 travels for initiation, middle-term and validation workshops, for all consultants. International and national displacements for field work and consultations, and meeting participations. Mobilization of stakeholders from 2 countries.		30,000	
D	Supplies for meetings, consultations, and office supplies		1,000	
E	Unexpected expenses		2,000	
F	Workshop-related costs to carry out consultations. Initiation, middle-term and validation workshops.		22,200	

## V. GEF PPG ACTIVITIES TIMEFRAME AND BUDGET

PPG Activity	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12	Budget (US\$)
<b>Component A:</b> Technical studies, etc.	x	x	x	x	x								84,000
<b>Component B:</b> Formulation of ProDoc, etc.				x	x	x	x	x					23,800
<b>Component C:</b> Validation Workshop	x					x				x			22,200
<b>Delivery of final outputs</b>												x	20,000

## VI. MANDATORY ANNEXES

### Annex 1: GEF CEO PIF/PPG Approval Letter



**GLOBAL ENVIRONMENT FACILITY**  
INVESTING IN OUR PLANET

**Naoko Ishii**  
CEO and Chairperson

May 14<sup>th</sup>, 2019

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

Dear Mr. Kurukulasuriya:

I am pleased to inform you that I have cleared the project concept detailed below for inclusion in the upcoming work program. I have also approved your request for Project Preparation Grant.

Decision Sought:	Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant Approval
GEFSEC ID:	10172
Agency(ies):	UNDP
Agency(ies) ID:	6373
Focal Area:	International Waters
Project Type:	Full-sized Project
Country(ies):	Regional, Costa Rica, Panama
Name of Project:	Towards the Transboundary Integrated Water Resource Management (WRM) of the Sixaola River Basin shared by Costa Rica and Panama
Indicative GEF Project Financing:	\$4,386,210
Indicative Agency Fee:	\$416,690
PPG Grant:	\$150,000
PPG Agency Fee:	\$14,250
Funding Source:	GEF Trust Fund

Indicative Agency Fee Commitment:					
Agency	Trust Fund	20% to be committed at Council approval (US\$)	50% to be committed at first disbursement (US\$)	30% to be committed at mid-term review (US\$)	Total (US\$)
UNDP	GEFTF	83,338	208,345	125,007	416,690

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

The cost per consultancy week and number of weeks provided below are indicative only and may be revised.

Position, Type and Cost	Role, Deliverables and Qualifications
<p><b>Position:</b> Project Development Specialist (GEF PPG Team Leader)</p> <p><b>Type:</b> IC</p> <p><b>Cost per person week:</b> US\$2,000</p> <p><b>Number of person weeks needed:</b> 15 weeks</p>	<p><b>Role</b> The 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 be responsible for managing all consultants on the GEF PPG Team, and coordinating the Team’s work.</p> <p><b>Deliverables</b></p> <ol style="list-style-type: none"> <li>1) <u>Management of the GEF PPG Team</u> <ol style="list-style-type: none"> <li>a. Define and submit a <b>detailed methodology and work plan</b> in consultation with the other consultants with clear delegation of responsibilities for the International Consultants (ICs) and National Consultants (NCs);</li> <li>b. Ensure that project development is <b>participatory, gender-responsive and based on extensive stakeholder engagements</b>; and</li> <li>c. Verify and ensure that all project components are <b>technically sound and cost effective</b>.</li> </ol> </li> <li>2) <u>Preparatory Technical Studies and Reviews (Component A), number 1:</u> With inputs from the other national and international consultants, as detailed in their respective TORs:           <ol style="list-style-type: none"> <li>a. Compile <b>baseline/situational analysis</b> 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; definition of GEF incremental value per outcome and output; and presentation of results of the incremental cost-analysis in matrices as appropriate;</li> <li>b. Oversee the <b>stakeholder analysis and consultations</b> and ensure that they are complete and comprehensive;</li> <li>c. Ensure the preparation of the <b>gender analysis</b> and ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework;</li> <li>d. Ensure action points, including risk assessments, from the <b>UNDP Social and Environmental Screening Procedure (SESP)</b> at the PIF stage (“pre-screening”) are fully implemented during the PPG, and update that screening in an iterative fashion throughout the PPG, as appropriate;</li> <li>e. Conduct/oversee the <b>identification of the project sites</b>, with documentation of selection criteria;</li> <li>f. Oversee the consultations with partners regarding <b>financial planning</b>; and</li> <li>g. Ensure completion of <b>any additional studies</b> that are determined to be needed for the preparation of the ProDoc and all other final outputs.</li> </ol> </li> </ol>

	<p>3) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B)</u>: With inputs from the other national and international consultants, as detailed in their respective TORs, and based on international best practice:</p> <ol style="list-style-type: none"> <li>a. Develop, present and articulate the project’s <b>theory of change</b>;</li> <li>b. Develop the <b>Results Framework</b> in line with UNDP-GEF policy;</li> <li>c. Develop a detailed <b>Monitoring and Evaluation Plan and Budget</b>;</li> <li>d. Oversee and ensure the preparation of a <b>Stakeholder Engagement Plan</b>;</li> <li>e. Oversee and ensure the preparation of a <b>Gender Action Plan and Budget</b>;</li> <li>f. Update the <b>SESP</b> based on assessments undertaken during Component A, and ensure the development of <b>environmental and/or social management plan(s)</b> for all risks identified as Moderate or High in the SESP;</li> <li>g. Prepare the required <b>GEF tracking tool(s)</b>;</li> <li>h. Secure and present agreements on <b>project management arrangements</b>;</li> <li>i. Ensure the completion of the <b>required official endorsement letters</b>; and</li> <li>j. Synthesize all analyses, studies, etc. that are prepared under Components A and B to produce <b>the draft UNDP-GEF ProDoc, GEF CEO Endorsement, and all mandatory and project specific Annexes</b>, using the required templates.<sup>1</sup></li> </ol> <p>4) <u>Validation Workshop (Component C)</u>:</p> <ol style="list-style-type: none"> <li>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; and</li> <li>b. Oversee all necessary revisions that arise during the workshop.</li> <li>c. Ensure completion of Validation Workshop Report.</li> </ol> <p>5) <u>Final Deliverables</u>:</p> <ol style="list-style-type: none"> <li>a. Consolidation of all technical and consultation inputs 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;</li> <li>b. Completion of the GEF CEO Endorsement Request;</li> <li>c. All documentation from GEF PPG (including technical reports, etc.); and</li> <li>d. Validation Workshop Report.</li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master’s degree or higher in a relevant field, such as environmental management, rural development, economics or administration;</li> <li>▪ Minimum 9 years of demonstrable experience in the technical area of management of natural resources, water resources management, sustainable rural development or community strengthening for the management of natural resources.;</li> <li>▪ Fluency in written and spoken English and Spanish.</li> </ul> <p><i>Experience preparing GEF PRODOCs and CEO ERTs</i></p>
<p><b>Position:</b> Expert in Ecosystems and Water Resources Management</p>	<p><b>Role</b> Assess existing surface and ground-water management practices applied in the region; assess scope for implementing sustainable surface and ground-water approaches at the national and transboundary context; assess capacity constraints and capacity building needs; identify international best practices in surface and ground-water management and feasibility of their implementation in the bi-national region; identify scope and</p>

<sup>1</sup> Please verify with the UNDP-GEF team that the correct templates are being used.

<p><b>Type:</b> IC</p> <p><b>Cost per person-week:</b> US\$1,000</p> <p><b>Number of person-weeks needed:</b> 12 weeks</p>	<p>recommended activities for the FSP; develop logical framework and impact indicators for FSP.</p> <p>NOTE: These activities should be done in coordination with national stakeholders (researchers, decision takers, national experts, among others).</p> <p><b>Deliverables</b></p> <ol style="list-style-type: none"> <li>1) <u>Preparatory Technical Studies and Reviews (Component A), number 2:</u> Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including: <ol style="list-style-type: none"> <li>a. Prepare inputs for the <b>baseline/situational analysis</b> 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; definition of GEF incremental value per outcome and output; and presentation of results of the incremental cost-analysis in matrices;</li> <li>b. Support the <b>stakeholder analysis and consultations</b> and ensure that they are complete and comprehensive;</li> <li>c. Support the preparation of the <b>gender analysis</b>;</li> <li>d. Support the action points, including risk assessments, from the <b>UNDP Social and Environmental Screening Procedure (SESP)</b> at the PIF stage (“pre-screening”) are fully implemented during the PPG, and support the iterations of that screening in an iterative fashion throughout the PPG, as appropriate;</li> <li>e. Support the <b>identification of the project sites</b>, with documentation of selection criteria;</li> <li>f. Support the completion of <b>any additional studies</b> that are determined to be needed for the preparation of the ProDoc and all other final outputs.</li> </ol> </li> <li>2) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u> Prepare inputs and support the development of final PPG deliverables, as agreed with the PPG Team Leader.</li> <li>3) <u>Validation Workshop (Component C):</u> <ol style="list-style-type: none"> <li>a. Contribute to the validation workshop; and</li> <li>b. Support all necessary revisions that arise during the workshop, as appropriate.</li> </ol> </li> <li>4) <u>Final Deliverables:</u> <ol style="list-style-type: none"> <li>a. <u>Assessment on the status of ecosystems and water resources in the Sixaola river basin.</u></li> </ol> </li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master’s degree or higher in a relevant field, such as <i>biology, water management, environmental sciences, hydrology, or similar.</i></li> <li>▪ Minimum 9 years of demonstrable experience in the technical area of water resources management;</li> <li>▪ Fluency in written and spoken English and Spanish;</li> <li>▪ Good oral and writing skills</li> </ul>
<p><b>Position:</b> Gender, Stakeholders Engagement and Participation Specialist</p> <p><b>Type:</b> NC</p>	<p><b>Role</b></p> <p>The Stakeholder Engagement and Gender Specialist will conduct regional stakeholder analysis for the Sixaola river basins; identify capacity barriers and capacity building needs; identify opportunities for public-private partnerships; develop national and transboundary stakeholder participation and engagement plans for the FSP; provide recommendations for scoping of the FSP. With regards to gender, the specialist will prepare the gender analysis and action plan, which is integrated to the project’s results framework.</p>

<p><b>Cost per person-week:</b> US\$1,200</p> <p><b>Number of person-weeks needed:</b> 12 weeks</p>	<p><b>Deliverables</b></p> <ol style="list-style-type: none"> <li>1) <u>Preparatory Technical Studies and Reviews (Component A), number 5 and section b:</u> Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including: <ol style="list-style-type: none"> <li>a. Lead and advise on the <b>stakeholder analysis and consultations</b> and ensure that they are complete and comprehensive;</li> <li>b. Prepare the <b>gender analysis</b> and work closely with the Team Leader to ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework;</li> <li>c. Support action points, including risk assessments, from the <b>UNDP Social and Environmental Screening Procedure (SESP)</b> at the PIF stage (“pre-screening”) are fully implemented during the PPG, and update that screening in an iterative fashion throughout the PPG, as appropriate; and</li> <li>d. Support completion of <b>any additional studies</b> that are determined to be needed for the preparation of the ProDoc and all other final outputs.</li> </ol> </li> <li>2) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory Annexes as well as project specific annexes (Component B):</u> Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including: <ol style="list-style-type: none"> <li>a. Prepare the <b>Stakeholder Engagement Plan</b>;</li> <li>b. Prepare the <b>Gender Action Plan and Budget</b>;</li> <li>c. Contribute to the updated the <b>SESP</b>, as needed, based on assessments undertaken during Component A;</li> <li>d. Support the development of <b>environmental and/or social management plan(s)</b> for all risks identified as Moderate or High in the SESP; and</li> <li>e. Support the agreements on <b>project management arrangements</b>.</li> </ol> </li> <li>3) <u>Validation Workshop (Component C):</u> <ol style="list-style-type: none"> <li>a. Contribute to the validation workshop; and</li> <li>b. Support all necessary revisions that arise during the workshop, as appropriate.</li> </ol> </li> <li>4) <u>Final Deliverables:</u> <ol style="list-style-type: none"> <li>a. <i>Gender analysis and Action Plan, inclusion of gender indicators in the final results framework.</i></li> <li>b. Indigenous People Analysis and Action Plan, support the application of FPIC.</li> </ol> </li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ <i>Master’s degree or higher in a relevant field, such as <b>gender, social studies, participation, social inclusion or similar.</b></i></li> <li>▪ <i>Minimum 9 years of demonstrable experience in the technical area of <b>gender and stakeholders engagement</b>;</i></li> <li>▪ Fluency in written and spoken English and Spanish;</li> <li>▪ Excellent writing and oral skills.</li> </ul>
<p><b>Position:</b> Expert in Legal and Regulatory Frameworks</p> <p><b>Type:</b> IC</p> <p><b>Cost per person-week:</b> US\$1,000</p>	<p><b>Role</b></p> <p>Collect and analyze information on existing policies, legal and regulatory framework for surface and groundwater management in each country; identify weaknesses in the policy and legal framework; describe and assess existing institutional framework including transboundary institutional arrangements; identify institutional capacity gaps and needs for implementation of FSP; provide recommendations for the FSP on the institutional capacity building for an effective national and transboundary implementation of surface and ground-water management approaches.</p>



<p><b>Number of person-weeks needed:</b> 12 weeks</p>	<p><b>Deliverables</b></p> <p>5) <u>Preparatory Technical Studies and Reviews (Component A), number 3</u>: Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including:</p> <ol style="list-style-type: none"> <li>Prepare inputs for the <b>baseline/situational analysis</b> 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; definition of GEF incremental value per outcome and output; and presentation of results of the incremental cost-analysis in matrices;</li> <li>Support the <b>stakeholder analysis and consultations</b> and ensure that they are complete and comprehensive;</li> <li>Support the preparation of the <b>gender analysis</b>;</li> <li>Support the action points, including risk assessments, from the <b>UNDP Social and Environmental Screening Procedure (SESP)</b> at the PIF stage (“pre-screening”) are fully implemented during the PPG, and support the iterations of that screening in an iterative fashion throughout the PPG, as appropriate;</li> <li>Support the <b>identification of the project sites</b>, with documentation of selection criteria;</li> <li>Support the completion of <b>any additional studies</b> that are determined to be needed for the preparation of the ProDoc and all other final outputs.</li> </ol> <p>6) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B)</u>: Prepare inputs and support the development of final PPG deliverables, as agreed with the PPG Team Leader.</p> <p>7) <u>Validation Workshop (Component C)</u>:</p> <ol style="list-style-type: none"> <li>Contribute to the validation workshop; and</li> <li>Support all necessary revisions that arise during the workshop, as appropriate.</li> </ol> <p>8) <u>Final Deliverables</u>:</p> <ol style="list-style-type: none"> <li>Assessment of existing policies, legal and regulatory frameworks for water resources management in in both countries.</li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master’s degree or higher in a relevant field, such as <i>environmental law, transboundary issues and frameworks, political sciences, law or similar</i>.</li> <li>▪ Minimum 9 years of demonstrable experience in the technical area of policy and regulatory frameworks in the region.</li> <li>▪ Fluency in written and spoken English and Spanish;</li> <li>▪ Good oral and writing skills</li> </ul>
<p><b>Position:</b> Expert in Early Warning Systems</p> <p><b>Type:</b> IC</p> <p><b>Cost per person-week:</b> US\$1,000</p> <p><b>Number of person-weeks needed:</b> 12 weeks</p>	<p><b>Role</b></p> <p>Collect and analyze information on existing early warning system in the region, it’s potential for strengthening and use of innovative technologies for its correct application, and future activities to enhance community empowerment and appropriation of the system.</p> <p><b>Deliverables</b></p> <p>9) <u>Preparatory Technical Studies and Reviews (Component A), number 4 and 5</u>: Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including:</p> <ol style="list-style-type: none"> <li>Prepare inputs for the <b>baseline/situational analysis</b> 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; definition of GEF incremental value per</li> </ol>

	<p>outcome and output; and presentation of results of the incremental cost-analysis in matrices;</p> <ol style="list-style-type: none"> <li>b. Support the <b>stakeholder analysis and consultations</b> and ensure that they are complete and comprehensive;</li> <li>c. Support the preparation of the <b>gender analysis</b>;</li> <li>d. Support the action points, including risk assessments, from the <b>UNDP Social and Environmental Screening Procedure (SESP)</b> at the PIF stage (“pre-screening”) are fully implemented during the PPG, and support the iterations of that screening in an iterative fashion throughout the PPG, as appropriate;</li> <li>e. Support the <b>identification of the project sites</b>, with documentation of selection criteria;</li> <li>f. Support the completion of <b>any additional studies</b> that are determined to be needed for the preparation of the ProDoc and all other final outputs.</li> </ol> <p>10) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B)</u>: Prepare inputs and support the development of final PPG deliverables, as agreed with the PPG Team Leader.</p> <p>11) <u>Validation Workshop (Component C)</u>:</p> <ol style="list-style-type: none"> <li>a. Contribute to the validation workshop; and</li> <li>b. Support all necessary revisions that arise during the workshop, as appropriate.</li> </ol> <p>12) <u>Final Deliverables</u>:</p> <ol style="list-style-type: none"> <li>a. Assessment on Early Warning Systems in the Sixaola River Basin</li> </ol> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master’s degree or higher in a relevant field, such as <i>environmental sciences, water resources management, climate change, adaptation, or similar</i>.</li> <li>▪ Minimum 9 years of demonstrable experience in the technical area of early warning systems, and climate change adaptation.</li> <li>▪ Fluency in written and spoken English and Spanish;</li> <li>▪ Good oral and writing skills</li> </ul>
<p><b>Position:</b> Expert in Social and Environmental Safeguards</p> <p><b>Type:</b> IC</p> <p><b>Cost per person-week:</b> US\$1,200</p> <p><b>Number of person-weeks needed:</b> 12 weeks</p>	<p><b>Role</b></p> <p>To identify ways to avoid negative environmental and social impacts where possible (e.g., through site selection). If risk avoidance is not possible, then mitigation and management measures must be identified, in line with the UNDP Social and Environmental Standards (see section B-f below). If the required assessments cannot be undertaken or finalized during the PPG, they must be completed during the first phase of project implementation.</p> <p><b>Deliverables</b></p> <p>13) <u>Preparatory Technical Studies and Reviews (Component A), section c</u>: Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including:</p> <ol style="list-style-type: none"> <li>a. Prepare inputs for the <b>baseline/situational analysis</b> 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; definition of GEF incremental value per outcome and output; and presentation of results of the incremental cost-analysis in matrices;</li> <li>b. Support the <b>stakeholder analysis and consultations</b> and ensure that they are complete and comprehensive;</li> <li>c. Support the preparation of the <b>gender analysis</b>;</li> <li>d. Review the pre-screening (SESP) of the PIF.</li> </ol>

	<p>e. Agree to a project-specific safeguards approach, workplan and mission schedule (as needed) with the UNDP Country Office, UNDP-GEF Regional Technical Adviser and the PPG Team Leader.</p> <p>f. Support the application of Free, Prior and Informed Consent (FPIC) for the PPGs with that requirement.</p> <p>g. Familiarize other PPG team members with UNDP’s SES and specific requirements, as appropriate.</p> <p>h. Update the SESP and prepare an Environmental and Social Management Framework (ESMF) for the project.</p> <p>i. Update and finalize the SESP, based on the ESMF.</p> <p>j. Provide inputs, advice and/or feedback on relevant sections of the ProDoc to ensure alignment with and consideration of safeguards..</p> <p>14) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B)</u>: Prepare inputs and support the development of final PPG deliverables, as agreed with the PPG Team Leader.</p> <p>15) <u>Validation Workshop (Component C)</u>:</p> <p>a. Contribute to the validation workshop; and</p> <p>b. Support all necessary revisions that arise during the workshop, as appropriate.</p> <p>16) <u>Final Deliverables</u>:</p> <p>a. Updated SESP</p> <p>b. ESMF (if required)</p> <p>c. Support the application of FPIC.</p> <p><b>Qualifications</b></p> <ul style="list-style-type: none"> <li>▪ Master’s degree or higher in a relevant field, such as <i>environmental sciences, water resources management, biology, social studies or similar</i>.</li> <li>▪ Minimum 9 years of demonstrable experience in the technical area of environmental sciences, and/or social and environmental safeguards.</li> <li>▪ Fluency in written and spoken English and Spanish;</li> <li>▪ Good oral and writing skills</li> </ul>
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