

# Project Cycle Management (PCM)

This chapter is a principal component of UNEP's Programme and Project Management Manual (PPMM). It describes end-to-end project management, from conception and design, through implementation to completion. It is a critical resource for UNEP Project Managers, both new staff learning about the way the organization approaches Project Cycle Management (PCM) and experienced staff looking for information about specific workflows and processes.





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**Subject Matter Experts:** Alexandra Regnerburke, Buyandelger Ulziikhuu Sodnom, Cecilia Lopez y Rojo, Christopher Ambala , Christopher Cox, Djaheezah Subratty, Doreen Lyn Robinson, Essa Batiah , Ersin Essen , Fabio Fiscaro, Francisco Alarcon, Hemini Vrontamitis, Janice Golding, Julian Blanc, Kimberly Adhiambo, Maria-Elena Zuniga Barrientos, Mirey Atallah, Raymond Brandes, Sari Sherman, Victoria Luque, Yunae Yi,

**Focal Point:** Janice Golding

**Version:** May 2023

## Introduction

This chapter is presented in the following sections:

- **Key approaches:** describes the approaches that must be embedded in every project to promote consistent, high-quality delivery of results.
- **Programme and Project Management Systems:** describes the digital tools and systems that UNEP uses to manage project records, and to store information and data about project progress.
- **The Project Cycle:** describes the approval steps that must be followed for a project to proceed to implementation and describes detailed workflows to be followed for effective project cycle management as well as the roles and responsibilities at all stages of the project cycle.

## Definitions

The following three definitions will help users to understand UNEP's approach to PCM and to contextualize the guidance in this chapter. This is not an exhaustive list of terms related to PCM, and further definitions can be found in [UNEP's Glossary of Results Definitions](#).

### Project:

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A project is a time-bound intervention with a specific funding envelope that addresses a defined set of results within an identified implementation context or geographic area. To be approved as a UNEP project, the planned results of a project at outcome level should contribute to programme outcomes in the PoW, and the main components of UNEP projects must be interlinked to achieve targeted outcome(s). All projects must be first approved as a concept to ensure PoW alignment, and then be approved by UNEP's Project Review Committee (PRC). All projects must be clearly defined in terms of the following dimensions:

**Timeframe:** The approved start and end date of a project. This should be a period of time from signed approval to operational completion date that is realistic for the achievement of the ambition of the project.

**Funding Envelope:** The funding envelope is the secured financial resources for project implementation. Projects should be submitted for approval with 75-80% of the envelope secured. Large percentages of unsecured funding provide challenges later in the project cycle, for example resources required to secure additional funding or additional funding including conditionalities not aligned with the original Theory of Change (ToC) of the approved project. The level of ambition reflected in a project's logical framework must be achievable with the secured funding to avoid speculative results statements, and weaknesses in accountability for results. If some funding remains

unsecured at the project approval stage, the ToC should capture what activities, outputs and outcomes secured and unsecured funding will contribute to. If the project has not yet secured full funding, then there must be evidence of ongoing resource mobilization efforts.

**Geographic Scope:** The geographic locations where project implementation occurs and the geographic locations where project effects will take place should be clearly defined.

**Results Targeted:** All projects delivered by UNEP in the period 2022-2025 will sit within a programme, and all projects within a UNEP programme will share the same common objectives and target achievement of the same MTS and PoW Outcomes. There should be a direct linkage between the results targeted by a project and that of a programme. The outcomes and indicators specified in a project must “move the needle” of the performance indicators specified in the associated programme.

**Project Documents:** Each UNEP project is governed by a Project Document (ProDoc) which describes the project’s Theory of Change (ToC), Logical Framework (logframe) and the results targeted. The ProDoc identifies which Outcomes, Direct Outcomes and Outputs that a project aims to achieve, and illustrates how an individual project contributes to the achievement of the programme that it resides in.

## **Programme:**

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A programme is a group of synergistic projects contributing to a common outcome(s) and managed in a coordinated way to obtain benefits not available from managing the projects individually. UNEP is employing a programmatic approach to provide the focus, coordination and thematic integration that is required to deliver the MTS and PoW. This programmatic approach allows UNEP to initiate, define, redefine, accelerate or terminate interventions within a programme in accordance with the overall strategic objectives and vision set out in the MTS. As described in Chapter 1, The coordination, management, and planning functions of UNEP Programmes will take place through Programme Coordination Projects (PCPs).

## **Project Manager**

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This is the Directly Responsible Individual (DRI) for an approved project who holds project management accountability. Each approved project must have a single manager who is directly responsible for all project components and contributing funding agreements. The Project Manager (referred to as a Task Manager on GEF or GCF funded projects), is supervised by the Project Supervisor. They have complementary but very well-defined roles with segregated duties associated to project management and management oversight. The roles and responsibilities of Project/Task Managers, their supervisors and other project staff are described throughout the workflows in this chapter.

# The UNEP Project Cycle

UNEP projects may vary in their design, expected outcomes, scope and scale. However, all of them follow the same project cycle in the four complementary phases summarized below:

## Concept Development

Concept development is the first step in the project planning process and involves describing the problem that a project will seek to address, along with the context in which the intervention will take place. Concepts provide the broad picture of desired results for a given amount of funding over a given period and preparing the Project Concept provides a basis on which to solicit funds from potential donors. Concept development provides the opportunity for engagement and co-creation between Divisions and Regions on technical, operational and other issues; ultimately this enables synergistic planning across UNEP and the development of ideas to deliver the aims of the MTS and PoW.

## Project Design

At the project design stage, the project concept is elaborated to include more detail about the project intervention strategy, the ToC is further developed, and the logical framework created. Implementation arrange-

ments, including partner roles and responsibilities are developed and agreed. Project design is undertaken by the project team, led by the Project Manager. Global Sub-programme Coordinators (SPCs) and Regional Sub-programme Coordinators (RSPCs), provide guidance to ensure that the development of the relevant project template aligns with strategic and thematic priorities and regional/national priorities as articulated in UN development cooperation frameworks. External stakeholder engagement and inputs, for example with envisaged donors, UN Country Teams, implementation partners and prospective project beneficiaries, are also an important elements of the project design process. This will ensure that the project is relevant, and increases the chances of project sustainability.

## Project Implementation, Monitoring, Reporting and Evaluation

This phase is focused on the delivery of activities to achieve the desired results. At this stage all the stakeholders should have the same level of understanding of the project including the project outcome, the logical flow of planned activities and assigned responsibilities, and the timeframe to achieve results. An inception meeting is a means to bring together project team members

and external partners, to jointly refine non-substantive elements of the project document (such as timelines, activities and budgets for activities), to clarify roles and responsibilities, to explain UNEP's processes and procedures; and to answer questions. Monitoring of performance and reporting on results takes place throughout implementation, and Mid-term Reviews enable UNEP to understand project outcomes and improve performance and accountability to donors, partners, and beneficiaries.

## Learning, Feedback and Closure

This is the final phase of the project cycle. A project is considered closed when all activities have been technically completed and financial reconciliations carried out. Evaluations and Reviews help in assessing to what extent targeted results have been achieved and provide the opportunity for evidence-based learning and identification of recommendations to improve future programmes and projects.

# Key approaches

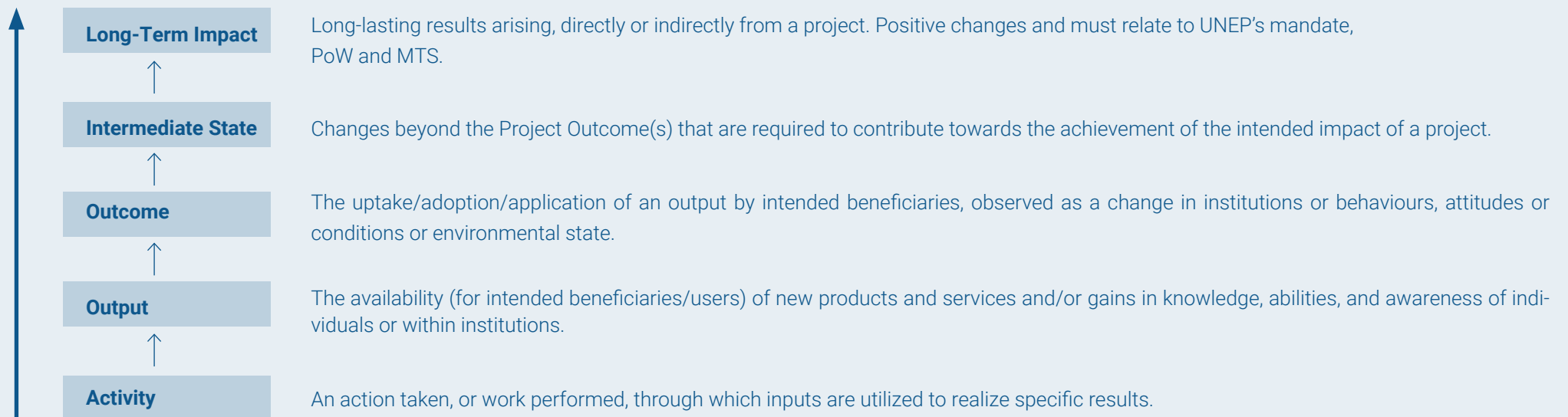
To ensure consistent, high-quality delivery, the design, development, and implementation of all UNEP projects must be guided by the following key approaches:

## Results Based Management (RBM)

Results-Based Management (RBM) is a project management strategy that focusses on the achievement of desired results, defined as measurable or describable changes arising from a cause-and-effect relationship. Desired results are formulated from the project beneficiary and/or stakeholders perspective with a focus on changes in knowledge, abilities and awareness, or changes in behaviour, attitudes, conditions, or state. RBM is a cross-cutting approach that supports the realization of the [UN Secretary General's Reform Agenda](#).

In UNEP projects, results are identified as Outputs, Outcomes, Intermediate State results, and Long-Term Impact. These can be represented through a results chain which depicts the assumed causal linkage between project activities and desired long-term impacts through the achievement of different levels of results and describes the types of changes targeted. The achievement of one result contributes to the achievement of the expected results at higher levels. A results-chain illustrates how activities should contribute to Outputs, which in turn contribute to Outcomes, followed by intermediate state(s) and Long-term positive Impacts:

### Results-chain for UNEP programmes and projects:



**In UNEP RBM is a fundamental principle of the organization's approach to programme and project delivery. It is the cornerstone of UNEP's efforts to demonstrate and sustain results in tangible terms. As an approach it incorporates:**

01

An examination of the broad social, environmental, political, economic, and technical contexts to identify what we want to change about the current situation and determine how we might best do that.



02

A focus on measurable expected results based on analysis, defined according to a results chain, and identified in key project documents and a focus on sustainable results.



03

Ensuring ownership by engaging stakeholders in the project and programme cycle. RBM entails identification of stakeholders, their engagement and buy-in, during the different stages of project and programme cycle.



04

Monitoring progress toward results and resources consumed using appropriate indicators and evidence sources and using information from monitoring to improve project performance, and to report on results achieved and resources involved based on evidence.



05

Identification and management of risk while bearing in mind the expected results and necessary resources.

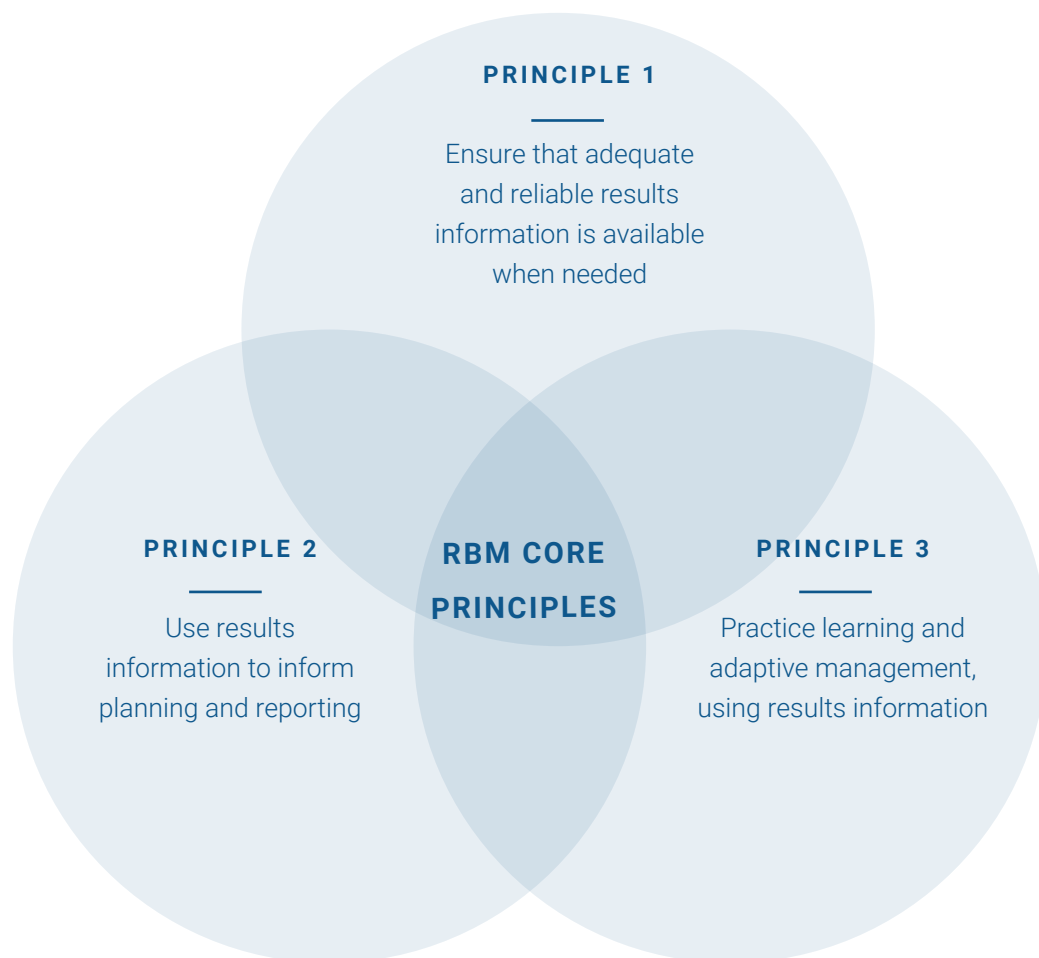


06

Knowledge management, including promoting learning, uptake of good practice and results and integrating learning into adaptive management, decision-making and further project and programme design



The principle aim of RBM is to use results information to help manage effectively. The three core principles of RBM are:



RBM is a standard practice, and targets positive long-term changes, that are sustained. It integrates a results-driven approach into all aspects of the project and programme cycle as well as integrating evidence and lessons learned from past performance into the new designs.

### **RBM Training**

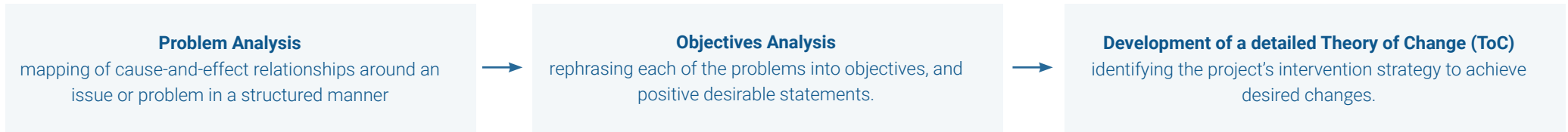
Greater information about UNEP’s RBM approach, and the tools described above can be found in the UNEP RBM training course. It is mandatory that all UNEP staff, especially those involved in project/programme implementation at any level undertake the training. This training counts for three days of training time in the annual appraisal.

Course name	Results-Based Management training
Modality	Online
Link to course	<a href="#">RBM Course</a>



## Theory of Change (ToC)

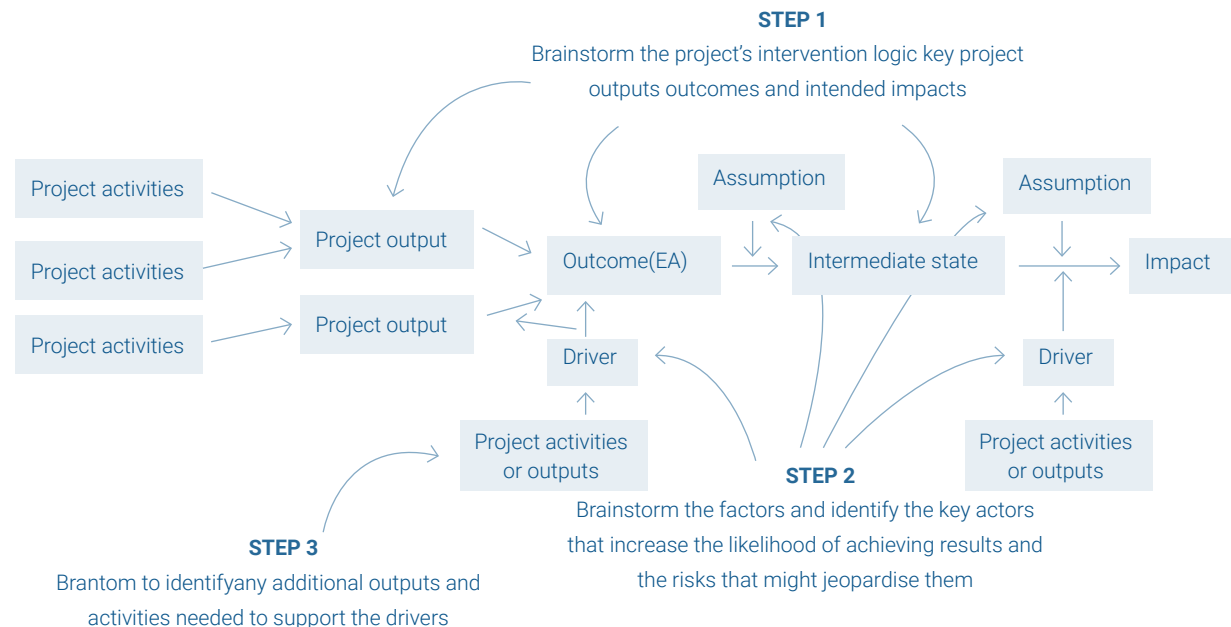
As a central feature of the RBM approach, all UNEP projects must have a project intervention strategy that includes a clear ToC. The ToC is a tool for planning that shows (in a simple graphic manner or narrative format) how a project or its products and services will contribute to behavioral or institutional change, and long-term project impact. It outlines the causal pathway to a change.



The process of identifying the ToC of an intervention should be done as a group exercise, involving project team members, stakeholders, and potential implementing partners. The ToC must include desired Long-Term Impact, Outcomes and Outputs, as well as linkages to the relevant Outcomes in UNEP's Programme of Work and Medium-Term Strategy. An important part of the ToC is the identification of conditions and factors (assumptions and drivers) that underpin the process by which Outputs and Outcomes are transformed into Intermediate States and Impact.

### Theory of Change (ToC) Example:

This example illustrates a simple causal change. In practice, a UNEP project ToC will involve multiple causal chains. Similarly in the context of UNEP's work, long-term impact in a particular area may often be achieved through the contributions of several projects.



## Logical Framework (logframe)

The Logical Framework captures a summary of the ToC and helps project personnel frame it in a structured manner. It summarizes the planned Outputs and Outcomes of the project within secured resources. UNEP project logframes should contain a single clear milestone for each outcome for every six-month period of the project. Logframes describe the indicator(s) for each result that should be measured to determine if a project is making progress.

During implementation, the project logframe serves as the project's primary management and monitoring tool and identifies how progress against each of the targeted results is to be monitored and measured. A project logframe is a reference point for project performance measurement and can be used to guide monitoring activities (in conjunction with a well-designed workplan). The data that is collected through monitoring activities is used for reporting internally and to donors and supports accountability for the use of project funds. The information that is gathered through monitoring also supports the process of project reviews, and evidence-based decision making on project direction, and adaptive management. An example of a logframe that could be used on a UNEP project is shown below.

### Example UNEP logframe

Project Objective:		Relevant UNEP Programme of Work Outcomes:		Sub-programme:
1. Project Outcome	Indicators (inc. Baseline/Target/Interim target)	Relevant PoW Outcome(s) and indicator(s)	Relevant SDG target(s) and indicators	Outcome risks
Project outcome milestones (specify which indicator each milestone refers to)			Milestone attainment date (for each reporting period)	
2. Project Outputs	Indicators	Relevant UNEP PoW Direct Outcome(s)	Relevant SDG target(s) and indicators	Output risks

## Donor logframe formats

The UNEP standard logframe format is included in the [UNEP Project Document \(ProDoc\)](#) and must be completed at project design stage. However, certain donors may provide different Prodoc formats for use as a key donor compliance requirement (e.g. GEF and GCF) UN system templates for joint programmes such as the [UNSDG Standard Joint Programme Document](#), SDG Fund, Multi-Partner Trust Fund and associated Standard Operating Procedures For Countries Adopting The “Delivering As One” Approach [guidance](#) may also be used for concept development and project design for joint programmes if required. Key elements required to meet UNEP standards include:

- Alignment of the project with UNEP’s PoW and MTS, and the SDGs.
- ToC and Logframe.
- Umoja-based Budget.
- Gender and disability mainstreaming.
- Safeguards Risk Identification Form (SRIF).
- Alignment to the relevant UNSDCF(s) and demonstration of relevant regional/country-level consultations.

If a donor format does not include these elements, then these elements should be prepared separately and attached as annexes when submitting the donor format to the Project Review Committee (PRC). Overall, the Project Document should satisfy the UNEP quality standards, and should enable easy entry of project data into IPMR in UMOJA, UNEP’s project management control system.

### Harmonization of results chains

Variations between how UNEP classifies results chains (outputs, outcomes, intermediate state, impact), and how a donor classifies results are important to harmonize during concept development and project design. UNEP internal reporting requires Project/Task Managers to report on output and outcome level achievement. If a project has been designed based on a donor logframe, the results chain levels may be different to that in UNEP’s logframe format. This can create challenges during monitoring and reporting, for example internally a Project/Task Manager may be asked to report on a result that is not classified in the same way in a donor logframe, and vice versa.

For this reason, it is important to try to harmonize results chains between donor and UNEP structures during concept development and project design. Project/Task Managers are encouraged to use UNEP’s results chain, or definitions from UNEP’s results chain when identifying which targeted results sit at output and outcome level in a non-UNEP logframe, and work with donors to request such harmonization. Similarly, when developing Implementing Partner (IP) agreements, and IP logical frameworks, there is value in harmonizing outputs, indicator targets, milestones. Although harmonization between donor, UNEP, and IP logframes may require time and negotiation during the concept development and



## TOC AND LOGFRAME GUIDANCE

- A ToC and Logframe are two central tools in the RBM approach and are required for all UNEP projects. Guidance on the development of a ToC and Logframe is included in module 2 of the UNEP [Results-Based Management \(RBM\) training](#).
- Well formulated result statements are crucial to the development of a project logframe. Guidance on writing results statements for different types of projects, and examples of indicators at the Output, Outcome and Intermediate State level can be found on the [Examples of Statements and Indicators from Activities to Impact](#) on WeCollaborate.
- [UNEP's Glossary of results definitions\\_July 2021](#), produced collaboratively by the Programme Coherence and Assurance Unit, PPD, Programme Support Unit in Ecosystems Division and the Evaluation Office with inputs from colleagues of the Policy & Programme Division covering various RBM terms
- Guidelines to ensure UNEP's expected project's results are reflected in donor and contribution agreements can be found on the [Guidelines Donor Agreements and RBM\\_30.09.2020](#).
- Other RBM related guidance and templates are available on the [Policies, Guidelines and Templates](#) page in WeCollaborate.

## Project Workplans

A project workplan is an operational tool which illustrates the activities that have been chosen to deliver the designed outputs and the timeline for implementation. The order of activities and dependence between activities should be defined in a workplan, together with the roles and responsibilities of the project team and implementing partners. If the project involves complex funding arrangements or a long-term timeline, the Project Manager may consider managing the project in separate phases, as specified in the workplan.

The UNEP Project Document (ProDoc) includes a simplified workplan template which must be completed during project design. The timelines illustrated in a workplan, can be annual, bi-annual, or quarterly, as informed by the agreement with donor, budget size, accountabilities and project implementation duration. An example is shown below. A more detailed workplan template, including all information required in the ProDoc and additional management information is illustrated in Annex A at the end of this chapter.

ID	Project Outputs & Activities	Responsible Division/ Regional Office	Partner(s)	Year 1			Year 2			Year 3			Year 4		
	<b>Project Outcome: as in Logical Framework</b>														
1	<i>State the activity<sup>1</sup></i>														
2	<i>State the activity</i>														
<b>A)</b>	<b>Project Output: as in Logical Framework</b>														
1	<i>State the activity</i>														
2	<i>State the activity</i>														
<b>B)</b>	<b>Project Output: as in Logical Framework</b>														
1	<i>State the activity</i>														
2	<i>State the activity</i>														
<b>C)</b>	<b>Project Output: as in Logical Framework</b>														
1	<i>State the activity</i>														
2	<i>State the activity</i>														
<b>D)</b>	<b>Project Output.</b>														
<b>Other activities (e.g., risk management)</b>															
	<i>State the activity</i>														
	<i>State the activity</i>														

## Results-Based Budgeting (RBB)

Results-based budgeting is a process that complements RBM. In RBB:

- Programme formulation revolves around a set of predefined objectives and expected results
- Expected results justify the resource requirements, which are derived from and linked to the outputs that are required to achieve outcomes; and,
- Actual performance in achieving results is measured by performance indicators<sup>2</sup>.

As part of project development, the Project Manager in collaboration with the Fund Management Officer prepares a project budget according to Results-Based Budgeting principles. The budget quantifies the resources needed for delivering the Outputs and Outcomes described in the logframe and workplan in the most cost-effective manner. Further information on UNEP's Results-Based Budgeting process is described Financial Management Charter in the PPMM.

<sup>1</sup> Activities may need to be added between the output and outcome levels to ensure uptake or use of outputs delivered by the project and contribute to the achievement of project outcomes. For example, activities may be needed to take care of drivers (external conditions that are within the influence of the project and its partners) or manage risks. <sup>2</sup> Further information can be found on [Results-Based Budgeting \(RBB\) - Linking Financials to Results](#)



## Stakeholder Engagement

In UNEP, the term “stakeholder” refers to individuals or groups who are affected or are likely to be affected by the programme or project activities.

It also refers more broadly to those who may have an interest or may influence the programme or project activities. Proper stakeholder engagement at the early stage of project design and planning builds local ownership, strengthens project integrity and design, and helps to establish foundational relationships that may contribute to constructive problem solving if difficulties arise. Effective stakeholder engagement is also central to attaining the SDGs in the spirit of ‘leaving no one behind’, supports combating inequality and ensures equity and non-discrimination across the project cycle.

The range of potential programme and project stakeholders is diverse and may include national and local government authorities, civil society actors, such as non-governmental, community and faith-based organization. They can also be politicians, religious leaders, the academic community, companies, business networks, consumer associations, labour unions, UN agencies, funds and programs and development partners, and other special interest groups.

Stakeholders may also include beneficiary groups or individuals and locally affected communities or individuals. These may include for example, women, children,

youth, elderly, disabled, indigenous people, ethnic minorities and people who identify as LGBTIQ+. These types of stakeholders are also known as rightsholders.

Further information on how to engage stakeholders can be found on the [Environmental and Social Safeguards](#) page in WeCollaborate. Completing an effective and thorough stakeholder engagement process requires time and resources to be allocated during the concept development and project design stages. Guidance on undertaking stakeholder analysis and developing a stakeholder engagement plan is described in Module 2 of the [UNEP RBM training](#).

### **Addressing poverty as an element of UNEP Projects**

A focus on poverty in UNEP’s programming has been achieved in part through the selection of Least Developed Countries (LDC), SIDS and LLDCs, and of poor rural regions of other developing countries and other locations with high poverty incidence as the target areas for projects and initiatives. The ToC of a project should reflect contributions of stakeholders towards the desired results and describe the socioeconomic benefits to be delivered for stakeholders and any relevant linkages to poverty alleviation and livelihoods.

## Environmental and Social Safeguards

UNEP's Environmental and Social Safeguards Framework (ESSF) aims to strengthen the sustainability and accountability of UNEP programmes and projects, through respect for human rights and by protecting people and the environment from potential adverse effects of project interventions. UNEP aims integrate these standards into concept development and design and during project implementation, monitoring, reporting and evaluation.

The ESSF sets out eight (8) environmental and social Safeguard Standards (SS) for UNEP programmes and projects to meet. It establishes procedures for identifying and avoiding, or where avoidance is not possible, mitigating environmental, social, and economic risks. The ESSF applies to all UNEP programmes and projects, UNEP-Administered MEAs, Implementing Partners, Executing Agencies, and Contractors.

UNEP's eight (8) Safeguard Standards (SS):

<b>SS1</b>	Biodiversity, Ecosystems and Sustainable Natural Resource Management	<b>SS5</b>	Cultural Heritage
<b>SS2</b>	Climate Change and Disaster Risks	<b>SS6</b>	Displacement and Involuntary Resettlement
<b>SS3</b>	Pollution Prevention and Resource Efficiency	<b>SS7</b>	Indigenous Peoples
<b>SS4</b>	Community Health, Safety and Security	<b>SS8</b>	Labour and Working Conditions

### Safeguards Risk Identification Form

UNEP environmental, social, and economic risks are identified by Project Managers and screened by PPD using the Safeguards Risk Identification Form (SRIF). The SRIF is a tool to identify and assess potential safeguard risks of proposed projects and their levels of significance, and to address them by avoiding, mitigating, or minimizing them in a structured, consultative, and planned manner. The SRIF is a mandatory step in the project design phases of all projects. For moderate or high-risk projects, consultation with the Safeguards Advisor early in the process of full project development is necessary as they may need to accompany risk mitigation plans by the time of the PRC. Related resource materials can be found on the [Environmental and Social Safeguards](#) page of WeCollaborate and elsewhere in the PPMM.

## Gender Mainstreaming

Gender mainstreaming is a fundamental principle of UNEP's work. UNEP's [Policy and Strategy for Gender Equality and the Environment](#) guides the organization's work in ensuring that gender analysis is incorporated more systematically into environmental programming, that the insight, knowledge and expertise of women as well as men informs environmental decision-making, and that women and men participate directly in setting the environmental agenda on an equal basis.

Each project's gender-responsive approach should be explained and rated using the gender marker self-assessment and each project should include specific, budgeted gender activities in the workplan, with gender considerations included in the logframe with established outputs, indicators, baseline(s) and targets.

### Gender mainstreaming in project development

It's important to capture and utilize the dimensions of an in-depth gender analysis in concept development and project design to empower women as well as men and work towards achieving gender equitable outcomes.

#### Project development should consider

1. Equal/appropriate participation or representation of women and men – in decision-making as well as project implementation activities.
2. Women's and men's different needs based on their concerns, experiences and constraints.
3. Whether proposed activities/approaches will lead to gender-responsive results (and not unintendedly reinforce gender inequity).
4. Collection of sex-disaggregated data.

#### Questions to assess the gender (gaps) context:

- a. Who does what? When? Where?
- b. Who has what or has access to what?
- c. Who decides and how?
- d. Who gains? Who might lose (even if unintended)?

These questions remain valid throughout the implementation of activities as well as during mid-term and terminal evaluation and review, to understand whether the interventions lead to the desired outcomes in a gender equitable way.

At project design Project Managers must ensure to include explicit gender indicators / baseline and milestone targets / outputs in the logframe, to embed gender as part of ongoing monitoring. Additionally, to ensure gender is properly mainstreamed the project budget should have sufficient financial and human resources dedicated to the corresponding activities, and measurement of gender indicators.



## Gender Mainstreaming Standards – UNEP’s Gender Marker

[UNEP’s Gender Marker](#) is a measure of how well gender is integrated into a new project document. The Gender Marker is a requirement of the UNEP’s Policy & Strategy on Gender Equality and the Environment, the UN System-wide Action Plan on Gender Equality and Women’s Empowerment, the [ECOSOC resolution E/RES/2016/2](#) and is mentioned as an important tool in foreign policy of major donors. Funding agencies such as the GCF and GEF all have strict requirements integrating gender in interventions.

UNEP GENDER MARKER		
Code	Meaning	Criteria
0	Gender-Blind	Gender relevance is evident but not at all reflected in the concept note or Project Document.
1	Gender partially mainstreamed	Gender is reflected in the context, implementation, logframe OR the budget.
2a	Gender well mainstreamed	Gender is reflected in the context, implementation, logframe AND the budget.
2b	Targeted action on gender	The principal purpose of the project is to advance gender equality.

All UNEP projects must mainstream gender in the areas of context through a gender analysis, implementation (clear gender sensitive/responsive activities and strategies), results (sex disaggregated targets as well as gender sensitive/responsive results and indicators) and budget (e.g., for hiring gender expertise as well as for ensuring gender related results can be achieved – this should be clearly identifiable in the budget). This means each project should attain a Gender marker of 2a or 2b. For projects coded 0 or 1, guidance is provided in [UNEP’s Gender Marker tool](#) for attaining a code 2a. A project coded 0, and 1 must be enhanced to 2a through consultation with the Gender and Safeguards Unit and accepting their recommendations before it is approved.

### Guidance

Information and support to undertake gender analysis and mainstream gender in UNEP work includes the following:

- [Gender and Environment: Support Kit for UNEP Staff](#)
- [Guidance to Advance Gender Equality in GEF Projects and Programs](#)
- [Mainstreaming gender in GCF projects](#)
- [Gender assessment and action plan - Annex 8 to GCF Funding Proposals](#)

Further support and information can be accessed via the [UNEP Gender and Safeguards Unit](#).

## Sustainability

In support of the SDGs, UNEP Project Managers must consider the long-term sustainability of their project(s)'s interventions and changes they aim to bring about. Each project should have a sustainability strategy for the longer-term maintenance of project outcome(s) and benefits, including consideration for socio-political, institutional, and financial factors. Each project's approach to sustainability will be assessed at the project design stage by the Project Review Committee (PRC).

The criteria for assessment are described in UNEP's quality of project design assessment matrix, and include the following elements:



### Institutional and Technical Sustainability

Activities, products and services should be planned to ensure the development of the institutional and technical capacity of partners to create and sustain project results and achievements in the long-term. In practical terms this should include:

- Selecting the most appropriate intervention logic, stakeholders, and partners based on the project's aims and context.
- Assessing and developing the institutional, technical, and human capacities needed to sustain project benefits.
- Provision of the skills, knowledge transfer, capacity-building and institutional set-up necessary to sustain outcomes in the long term.
- Engagement with UN Country Teams and key stakeholders, and promotion of ownership of project interventions and outcomes by national and regional partners.
- The project's catalytic potential should be described in the project design, including how to promote upscaling and/or replication of project approaches and best practices.
- The potential for project methods, tools, and knowledge to be used by other countries or regions (including through South-South and Triangular Cooperation) should be considered and articulated in the ProDoc.



### Financial Sustainability

Resource mobilization strategies need to be planned with the aim of assuring the financial sustainability of the project during implementation and the long-term sustainability outcomes and outputs after project completion. This should include mapping a project's exit strategy and post-project financing mechanisms and agreeing with partners the process for the phased withdrawal of UNEP technical inputs and funding.



## Environmental Sustainability

As described earlier in this chapter, UNEP's ESSF aims to strengthen the sustainability and accountability of UNEP programmes and projects, through respect for human rights and by protecting people and the environment from potential adverse effects of project interventions. Further information can be found in Chapter 5 - Risk Management.



Replicating' and/or 'scaling up' is sometimes used as a cost-effective way to achieve and sustain long-term results. UNEP projects may test new environmental tools or methodologies and if successful, these new tools and methodologies may be carried forward, expanded upon, and replicated by the project's partners. During the planning phase it is important to identify appropriate partners, where relevant, who would help maximize such replication and 'scaling up' and ensure their involvement in the project design and implementation process with a focus on sustainability. This can promote a sense of ownership in the project as well as a commitment to the scaling up and replication of the new tools and technologies.

## Communication

During the initial stages of the project cycle a project's communication strategy should be developed. This should be described in the Project Document (ProDoc) and the resources required to deliver communication activities allocated in the project budget. The strategy should cover all elements of a project's communication work, including awareness raising, planned publications, advocacy, social mobilization, social media and digital work, and behaviour change activities planned for the project. Engagement with UNEP's Communication Division is a mandatory requirement during project design to benefit from the division's knowledge and expertise and ensure that the project communication strategy is relevant, aligned with UNEP communication policies and procedures, and feasible. In support of an RBM approach to communication, all publications planned during the project should be identified as Outputs in the project's results framework. All publications planned for a project must go through UNEP's publications review and approval process.

During implementation the project's communication strategy should be followed, planned external communication activities delivered, and progress monitored. Efficient and proactive communication of project progress, activities and results can lead to increased stakeholder buy-in and mobilization and strengthen project delivery. A Results Based Management (RBM) approach to communication promotes that project results, good practices, lessons learned, and recommendations should also be shared internally for institutional learning.

Further information regarding communications, including in the areas of UNEP website changes, social media and media engagement and visual identity can be found on the [communications](#) page of WeCollaborate.

# Programme and Project Management Systems

Between 2010 and 2021 UNEP used its Programme Information Management Information System (PIMS<sup>3</sup>) as a programme and project management tool, to support the functional needs of the entire Programme of Work (PoW) cycle. Projects were registered, their lifecycle managed and monitored and reported through PIMS. This was a tool developed specifically for UNEP.

## Integrated Project Management and Reporting (IPMR)

Beginning in 2021 UNEP started a transition to a new updated programme and project management tool called IPMR. IPMR is a module in the UN's UMOJA Extension 2. For the delivery of the MTS 2022-2025 and the PoW 2022-2023, all new projects will be created, and managed, using IPMR, and active projects in PIMS are being migrated to IPMR during 2023.

IPMR is a holistic, end-to-end solution spanning multiple UMOJA modules and is used to manage the lifecycle of UN programmes and projects from beginning to end, across multiple funding sources. The implementation of IPMR directly supports the UN's management reform, which promised transparency and accountability in management of resources, programmes, and projects across the Secretariat. IPMR empowers all staff to proactively plan resource requirements, monitor and manage project implementation by tracking risks and delivering results while also holding managers accountable for better management of the resources of the Organization. IPMR enables a clear linkage between resources and results through logical frameworks at project and programme levels and aims to support both day-to-day project management and high-level communication of results to Member States and stakeholders.

### IPMR Functions

IPMR currently consists of two modules which have the following uses during the project cycle, in support of results-based management:

IPMR MODULE	FUNCTIONS AND USES
<b>Strategy Management Application (SMA)</b>	<ul style="list-style-type: none"><li><b>Planning application</b> – Once a project is approved by the PRC, SMA is used to create a project in IPMR. It is where the project plan and structure are defined. It includes general details about the project, the project objective, and outcome and outputs of the project logframe, indicators, risks, and work breakdown structure elements (WBSEs), tagging for SDGs, geography, and gender.</li></ul>

<sup>3</sup> Details can be accessed via [https://projects.unep.org/home/?view=about\\_pims](https://projects.unep.org/home/?view=about_pims)

IPMR MODULE	FUNCTIONS AND USES
<b>Strategy Management Application (SMA)</b>	<ul style="list-style-type: none"> <li>• <b>Monitoring</b> –SMA is being used for project performance monitoring and is where the information on the status of the project's indicators and risks are recorded on a regular basis.</li> <li>• <b>Strategy &amp; Project Approval</b> – this application is used by an approver to approve a submitted project.</li> </ul>
<b>Business Planning and Consolidation (BPC)</b>	<p>After setting up the logframe using SMA, the Business Planning and Consolidation tool (BPC) is then used to</p> <ul style="list-style-type: none"> <li>• Plan and approve the budget</li> <li>• Allocate funding</li> <li>• Monitor funding gaps</li> <li>• Understand with who (review-level) the project plan is pending</li> <li>• Plan in detail the budget for project staffing</li> </ul>
<p>IPMR modules are accessed via UMOJA, using a staff member's unite login at: <a href="https://login.Umoja.un.org">https://login.Umoja.un.org</a></p>	

## Monitoring and reporting in IPMR

For the time being [PIMS](#) will continue to be used as UNEP's internal project monitoring and reporting tool while the IPMR reporting module (UMOJA dashboard) is developed. Further guidance will be provided in due course and once this reporting module is complete after which all project monitoring and reporting will take place in IPMR. When monitoring in IPMR is launched the Monitoring application in the SMA module will be used to monitor and capture data on project performance. It will serve as a continuous assessment tool that aims at providing managers the ability to proactively track and measure the indicators and risks of their project plan to determine if the project is being implemented according to plan. Project Managers will use substantive and financial reports from their partners to enter monitoring and reporting data into SMA. Project/Task Managers should also monitor the risks identified in the logframe, and record what mitigatory action they have taken. It will be possible to set both the frequency of monitoring for reporting to internal and external audiences (e.g., quarterly, semiannually or at the very least, annually), and to specify the result (logframe) levels, which reports should cover e.g., an entity may specify that output level reporting is mandatory at certain points in the year, while outcome level reporting and reporting against the project objective can be done less frequently. Currently UNEP's project reporting frequency is twice a year.

## UMOJA Grantor Module

IPMR in UMOJA is complemented by the UMOJA Grantor Module. This module enables staff to record, track and analyze the entire business life cycle of the relationship UNEP has with its Grantees, Implementing Partners, and End Beneficiaries. It has the following key functions:

### GRANTOR MODULE - FUNCTIONS AND USES

- Managing provision of funding to Implementing Partners.
- Programme Assistants create applications in the Grantor Management Module (also called Implementing Partner Module) of IPMR.
- Project Manager and FMO manage appropriate approval workflows depending on entity type and agreement size. Once approved these applications become 'agreements' in IPMR.
- All financial commitment, disbursement, monitoring, expenditure recording related to IPs is carried out within this 'agreement' object in this module of IPMR.

Further information about the Grantor Module, including reference material and training can be found [here](#).

## IPMR Guidance

For further information about IPMR contact [UNEP's Strategic Planning Unit \(SPU\)](#). To support the transition to IPMR, UNEP Deployment team has made guidance training modules and information available. It is recommended that all staff engaged in programme and project design, implementation and reporting make use of these resources and complete necessary training. This information is regularly updated with new modules and courses and can be accessed via UMOJA eLearning:

COURSE TITLE	ACCESS
Introduction to Integrated Planning, Management and Reporting (IPMR)	<a href="https://ilearn.Umoja.un.org/">https://ilearn.Umoja.un.org/</a>
Creation and Revision – Planning in IPMR (SMA)	
Creation and Revision of the Staffing Table using IPMR (BPC)	

COURSE TITLE	ACCESS
Budget Planning in IPMR (BPC)	
Funding Plan and Funding Gap in IPMR (BPC)	https://ilearn.Umoja.un.org/
Monitoring Performance Using IPMR (SMA)	

In UNEP, IPMR is managed by the Corporate Services Division (CSD). Further information can be found [here](#).

## Project Review and Approval

In UNEP, projects both at concept stage and at project design stage are reviewed by internal committees. This allows project staff to gain expert feedback and strengthen their project concepts and designs. The committees involved in review processes are the Concept Approval Group (CAG) and the PRC. These committees review 'quality at entry' to ensure that project concepts are aligned to UNEP's MTS and Programme of Work (POW), and that project planning, partnership planning and resource mobilization are in tune. To support delivery of the MTS 2022-2025 and associated Programmes of Work (PoW), UNEP has strengthened the review process at both concept and project levels:

### Concept Approval Group (CAG)

The purpose of the CAG is to provide a senior-level review, to ensure that concepts have sufficient strategic merit and strategic alignment with the MTS and PoW at this early design stage. The process provides institutional clearance to fundraise for concepts and/or spend for Project Preparation Proposal / Project Preparation Grants to further develop project documentation. Project concept reviews are mandatory, and all project concepts must be approved by the CAG before full project design can take place. The CAG reviews all concepts irrespective of envisaged funding source(s) (including GEF, GCF, PCPs, etc.), partner(s), implementation modality, or whether the concept is a follow-on from a previous project (e.g., Phase II, Phase III, etc.).

# CAG Process

1

Project concepts are submitted to CAG-PRC Secretariat by the Lead/Division Director after clearance by the SPC and Head of Branch or others when relevant e.g., by a Portfolio Manager (i.e.: vertical funds such as GEF/GCF).

2

Division Directors shall submit concepts to the CAG-PRC Secretariat (UNEP-CAG-PRC-Secretariat@un.org) no later than at close of business on the 15th of each month for the CAG meeting of the following month.

5

With support of the CAG-PRC Secretariat, the CAG Chair will issue a report indicating which concepts are fully approved or not approved. The CAG may make recommendations.

4

CAG-PRC secretariat organizes the CAG meeting for concepts submitted. In advance of each CAG meeting, the CAG-PRC Secretariat shall compile a summary report of all submissions. The summary report will show how concepts are mapped cumulatively against the PoW Sub-Programmes and the direct outcomes in the Theory of Change (ToC) for each of the strategic objectives and Programmes.

3

The CAG-PRC Secretariat shall consolidate all submissions of the month and submit them to the CAG members on the 1st of the month, giving two weeks' time for CAG members to review documentation

6

Concepts that are not approved by the CAG shall be returned to the relevant Division for further development or abandonment.

7

Project concepts submitted along with an associated Programme Coordination Project (PCP) will be considered at the same time as the PCP.

8

The CAG consists of UNEP's SMT members (i.e., both Regional and Divisional Directors) and is chaired by the Deputy Executive Director (DED).



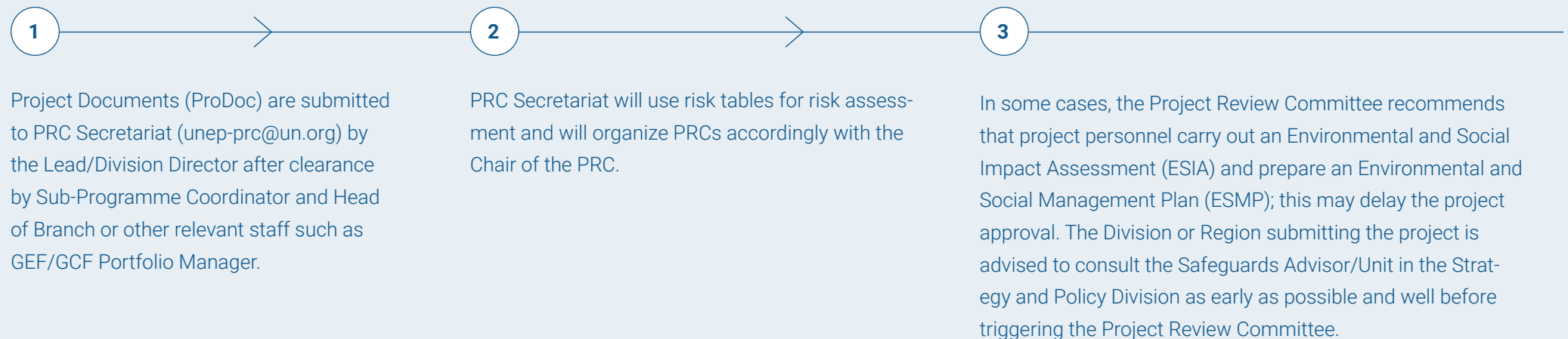
## Project Review Committee (PRC)

The PRC is mandated to review and assess the quality of projects and provide relevant input and advice to strengthen the design of a project, with specific focus on the project's logic and approach to achieving results. A project must have passed CAG review before submission to the PRC. The PRC must review and assess the quality of projects before the formal approval of a Project Document (ProDoc), and prior to submission to a donor. The PRC Secretariat (Email: [unep-prc@un.org](mailto:unep-prc@un.org)), coordinated from the Policy and Programme Division, facilitates the project review process and new Project Document quality assessment. Only projects that are PRC-approved are considered UNEP projects.

### PRC and the tiered risk assessment approach

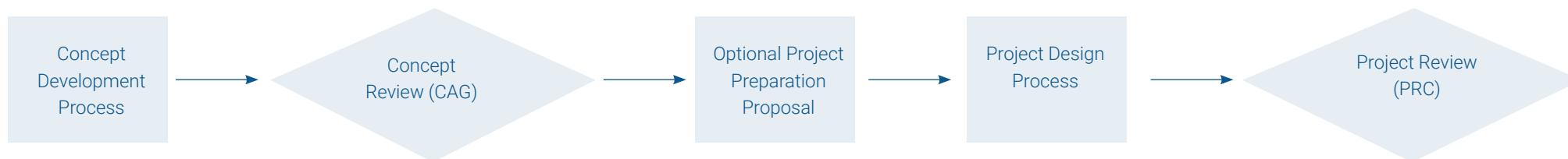
UNEP aims to strengthen the PRC oversight processes, by adding the project risk assessment approach to project reviews. Early risk identification is beneficial to project development because it can guide project design, provide the opportunity to embed learning from previous projects, and help to avoid and mitigate any risks identified. Projects may be assigned a risk tier (high, medium, or low) based on the criteria in the table below, and those projects that are more complex, and by extension potentially higher risk, will be subject to more rigorous design review, oversight, and support actions. The risk level assigned to the project may also define the seniority of staff member to chair the PRC and the level of management oversight. All projects involve risks, but early identification allows UNEP to understand and manage these risks while striving to achieve the ambition and results described in the MTS and PoW. This section's approach to project risk assessment will be further updated in Q1/Q2 2023.

### PRC process



Programme Coordination Projects (PCPs), the projects that are established to coordinate and manage UNEP's programmes, are created in the same way as normal projects, and follow the same review and approval processes described above.

# Concept Development and Project Design



This section describes suggested workflows to follow for the development of project concepts, project preparation proposals and design of projects. These workflows are designed to be practical guides for Project Managers and staff in project teams to understand the steps required to bring a project idea to approval for implementation, and to understand the internal and external stakeholders involved.

## Project Concept Development Workflow

The development, review, and approval of all project concepts should take place via the following steps:

STAGE	ROLE	RESPONSIBILITY
<b>Development of the Project Concept</b>		
<b>STEP 1</b>	<b>Regional Sub-programme Coordinator, Regional Directors, and Programme Directors</b>	Development of new project concepts is informed by the MTS, PoW, and Programme Ideas which set Divisions strategic priorities as well as by input and recommendations from Regional Sub-programme Coordinators and Regional Directors about regional and national priorities including country cooperation frameworks where relevant.
<b>STEP 2</b>	<b>Project Concept Developer</b>	Identify alignment of project idea with UNEP Programme of Work (PoW) and Programmatic Approach and undertake preliminary consultations as follows: <ul style="list-style-type: none"> <li>Internal - Consultations with the Regional Offices are necessary to determine where the project could have the most impact, identify available partners at the regional and country level and confirm its alignment with regional priorities. Liaising with staff members,</li> </ul>

STAGE	ROLE	RESPONSIBILITY
STEP 2	<b>Project Concept Developer</b>	<p>especially Sub-Programme Coordinators - that have been involved in the same area of work or region and reviewing similar projects/evaluation reports can provide additional insight.</p> <ul style="list-style-type: none"> <li>External - Consultations with stakeholders, such as national and local authorities, potential implementing partners, the private sector, major interest groups, the UN Country Team and/or other UN agencies present in the field, ensure a proper understanding of the socio-economic and political environment.</li> </ul>
STEP 3A	<b>Project Concept Developer</b>	Prepares the project concept using the <a href="#">UNEP Project Concept Template</a> (see sub-process below for detailed description of the process)
<b>Review and approval process begins</b>		
STEP 4	<b>Global Sub-programme Coordinator</b>	Reviews the project concept to confirm alignment with the PoW and Sub-programme. If cleared by the Sub-Programme Coordinator, the concept moves to step 5, if not the concept returns to step 2.
STEP 5	<b>Division Director</b>	Division Directors shall submit concepts to the CAG-PRC Secretariat (UNEP-CAG-PRC-Secretariat@un.org) no later than at close of business on the 15th of each month for the CAG meeting of the following month.
STEP 7	<b>PRC Secretariat (PCAU, PPD)</b>	In advance of each CAG meeting, the CAG-PRC Secretariat shall compile a summary report of all submissions. The summary report will show how concepts are mapped cumulatively against the PoW Sub-Programmes and the direct outcomes in the Theory of Change (ToC) for each of the strategic objectives and Programmes, showing concrete planned delivery towards the PoW indicators. The summary report will include an overview table of concept assessments and recommendations to support the deliberations and decisions of the CAG.

STAGE	ROLE	RESPONSIBILITY
<b>STEP 8</b>	<b>Concept Approval Group (CAG)</b>	<p>The CAG is chaired by the Deputy Executive Director (DED). The head of the CAG-PRC is the Director: The Policy and Programme Division. A CAG quorum shall consist of three Technical Directors and three non-Technical Directors (latter includes PPD and CSD).</p> <p>With support of the CAG-PRC Secretariat, the CAG Chair will issue a report indicating which concepts are fully approved or not approved. The CAG may make recommendations. Concepts that are not approved by the CAG shall be returned to the relevant Division for further development or abandonment. All concepts that are not approved, including those within PCPs, may be re-submitted separately to CAG-PRC Secretariat as an update to a programme, not a stand-alone outside of any of the approved programmes.</p> <p>The CAG may recommend that approved concepts undergo Quality Enhancement Review (QER), which will be facilitated by PPD. Project teams may also voluntarily request this support. All concepts approved by the CAG with comments for QER will require this critical step prior to tabling at a PRC. This is mandatory for projects that require this step to satisfy donor compliance standards (e.g.: Global Environment Facility, GEF).</p>
<b>STEP 9</b>	<b>Project Concept Developer</b>	<p>Address comments and recommendations made in the CAG report and submit to Supervisor/Head of Branch/Unit.</p>
<b>STEP 10</b>	<b>Head of Branch/Unit</b>	<p>Review concept to ensure that recommendations from the CAG are addressed and make sure these are included during further development of the project, and in the project document (ProDoc).</p>

## Concept Approval Form Completion

This form is intended to gauge the strategic merit at quality of entry stage, via the Concept Approval Group. A summary of the information required to complete the form, and sources of additional guidance are described in the table below:

COMPLETION OF THE UNEP CONCEPT TEMPLATE	
Summary of content required	Additional guidance sources
<ul style="list-style-type: none"> <li>• Project identifiers (title, accountable Division Director, Project Manager).</li> <li>• Region and countries targeted.</li> <li>• Primary sub-programme and sub-programme indicator(s) targeted.</li> <li>• Secondary sub-programme and sub-programme indicator(s) targeted.</li> <li>• PoW Outcomes and PoW indicator(s) targeted.</li> <li>• Information about the Divisions and Regional Offices consulted during concept development.</li> <li>• List of confirmed and anticipated sources of funding</li> </ul>	<p><a href="#">MTS 2022-2025</a></p> <p><a href="#">PoW 2022-2023</a></p> <p><a href="#">UNEP's Delivery Model</a></p>
<p>Narrative information including:</p> <ul style="list-style-type: none"> <li>• The problems or challenges the project seeks to address in the context of the MTS and the country or regional context (incl. UNSDCF level, as relevant).</li> <li>• An explanation of the proposed approach, intervention, and envisaged project timeframe, describing how the approach and intervention will deliver the PoW outcomes in a cross-cutting manner.</li> <li>• An outline of the impact potential and envisaged transformational change, highlight direct and/or indirect linkages to other UNEP projects.</li> </ul>	<p>Guidance on how to develop a problem tree analysis, and Theory of Change, can be found in the <a href="#">UNEP RBM training course</a>.</p> <p>Guidance on conducting a gender analysis can be provided by the <a href="#">UNEP Gender and Safeguards Unit</a>.</p>

## Quality Enhancement Review (QER)

The CAG may recommend concepts undergo a QER step. The QER is to enhance the quality of projects designed to deliver the priorities outlined in UNEP's MTS and PoW and to ensure that UNEP's donor applications meet specific donor requirements and quality standards. All concepts that have been CAG approved but with qualification for concept elaboration to satisfy donor requirements, require QER prior to PRC. Project teams may also request post-concept approval QER support themselves.

The QER is facilitated by the PRC-Secretariat (PCAU) and will bring together Sub-Programme Coordinators and other collective expertise from across UNEP to strengthen quality of project concepts. QER composition will vary from case to case but will include relevant peers and experts from Regional Offices and Divisions, and responsible donor units (GEF, GCF, IKI, Adaptation Fund, etc.), and engagement by staff from the PCAU and the Funding Coordination Unit. For further information about UNEP's QER process please contact the [UNEP-CAG-PRC-Secretariat@un.org](mailto:UNEP-CAG-PRC-Secretariat@un.org)

## Project Preparation Proposal Workflow

A Project Preparation Proposal is an optional complementary tool designed to bring more flexibility to the Project Cycle. A Project Preparation Proposal (PPP) template is prepared when funds are available to implement preliminary project activities required for full project design such as:

- Stakeholder consultation and/or site visit(s)
- Development of baselines and/or gathering baseline data
- Environmental assessments and development of management plans
- Project design meetings with stakeholders and/or partners

In general, a PPP should have secured funds for all activities under the PPP and no more than 10% of the total project secured budget is allotted for project proposal preparation.

Development of a UNEP Project Preparation Proposal is guided by the [UNEP Project Preparation Proposal template](#). A Project Preparation Proposal (PPP) is approved by the Director of the Division managing the project, following consultation with the Programme Coherence and Assurance Unit (PCAU) and the Fund Management Officer of the Division or Regional Office. The workflow for approval of a PPP is shown below.

STEP	RESPONSIBILITY	ACTION
STEP 1	Project Manager / Developer	Prepare the Project Preparation Proposal (PPP) using the UNEP PPP Template.

STEP	RESPONSIBILITY	ACTION
STEP 2	<b>Funds Management Officer</b>	Review budgetary information for accuracy and provide necessary feedback to the Project Manager/Developer.
STEP 3	<b>Global Sub-programme Coordinator</b>	Reviews PPP alignment to sub-programme, PoW, and SDGs, and relevant indicators, and quality of design. Either provides feedback to the Project Manager and the PPP moves back to step 1, or PPP sent to PM's Supervisor/Head of Branch/Unit.
STEP 4	<b>PM's Supervisor/Head of Branch/Unit</b>	Assess quality of design of PPP and alignment to Branch/Unit ToC. Either provides feedback to PM, and PPP moves back to Step 1, or recommends for review by PRC Secretariat.
STEP 5A	<b>PRC Secretariat (PCAU, PPD)</b>	Undertakes PPP review including Logframe If updates are required, PPP returns to Project Manager/Developer for update and then to step 4. PRC approval follows UNEP's <a href="#">Delegation of Authority for Projects and Programme Management</a> . If PPP proposal is above \$500k, a PRC is set-up to clear the PPP and PPP moves to step 5b. If PPP proposal is below \$500k, PRC provides input and moves to step 6 for Divisional approval.
STEP 5B	<b>Project Review Committee (PRC)</b>	Undertake review of the PPP and provides recommendations in PRC report. Issue PRC report to the Divisional Director, Project Manager/Developer and PM's Supervisor/Head of Branch/Unit.
STEP 5C	<b>Project Manager / Developer</b>	Address comments and recommendations made in the PRC report and submit to Supervisor/Head of Branch/Unit
STEP 5D	<b>PM's Supervisor/Head of Branch/Unit</b>	Review PPP to ensure that recommendations from the PRC are addressed and submit to Division Director
STEP 5E	<b>Division Director</b>	Signs off for feasibility and relevance and submits to PRC Secretariat.

STEP	RESPONSIBILITY	ACTION
STEP 5F	PRC Secretariat (PCAU section, PPD)	Review and clear the PPP including Logframe, and submit to Regional/Divisional Director for approval – step 6
STEP 6	Division Director	Review PPP and either approve, in which case the PPP moves to step 7, or provide feedback to PM's Supervisor/Head of Branch/Unit
STEP 7	Funds Management Officer	Opens UMOJA account and WBESC 1 and 2
STEP 8	Project Manager	PPP begins implementation preparations and reporting in IPMR. It is recommended for PPP implementation periods to not exceed 18 months, and ideally be completed within 12 months.

## Project Design Workflow

Once concepts are approved by the CAG, Divisions have the green light to proceed to full Project Document (ProDoc) development in accordance with the QER and PRC process. Design, review, and approval of takes place via the following steps:

STEP	RESPONSIBILITY	ACTION
<b>Project Document (ProDoc) development and supporting documentation</b>		
STEP 1	<b>Project Manager/Developer, Regional Sub-programme Coordinators, Regional Directors, and Division Directors.</b>	<b>Consultation:</b> Development of new Project Documents is informed by the approved concept, MTS, PoW and Divisions strategic priorities, as well as by input and recommendations from Regional Sub-programme Coordinators and Regional Directors about regional and national priorities, including country cooperation frameworks were relevant. Regional and divisional staff work together on an iterative basis to complete the Project Document.
STEP 2	<b>Project Manager/Developer and Safeguards Advisor</b>	<b>Safeguard Risk Identification Form (SRIF):</b> The Safeguard Risk Identification Form is a tool that facilitates identification of safeguard risks that might arise due to the proposed intervention. Further information about the SRIF can be found on the <a href="#">Environmental and Social Safeguards</a> page on WeCollaborate and in this short video on <a href="#">How to prepare the Safeguard Risk Identification Form</a> .



STEP	RESPONSIBILITY	ACTION
STEP 3	Project Manager/Developer	<p><b>Identification of partners:</b> Potential implementing partners and key relevant stakeholders are identified and screened based on the type of partner and partnership. The guidelines for the process of partnership determination and approval are available in Chapter 7 - Partnerships.</p>
STEP 4	Project Manager/Developer	<p><b>Development of the Project Document:</b> The main deliverable of this workflow is the Project Document (ProDoc), which is the key reference document for project cycle management. The process for completing the ProDoc is described below in step 4 sub-process: completion of the ProDoc.</p>
STEP 5	Project Manager/Developer and Safeguards Advisor	<p><b>Environmental and Social Sustainability Disclosure:</b> At this stage, the project developer is advised to consult the Safeguards Advisor for the safeguard risk screening and follow up action (especially for high and moderate risk projects) and disclosure to the public. Moderate risk projects typically require targeted environmental and social analysis and application of recognized good international practice; in certain circumstances comprehensive forms of assessment may be required, along with an Environmental and Social Management Plan (ESMP).</p> <p>If the project is in the high-risk category, Environmental and Social Impact Assessment (ESIA) must be carried out, which includes an Environmental and Social Management Plan (ESMP), with help of relevant technical expert(s). ESMPs may include or be accompanied by other safeguard-specific management plans (e.g., Indigenous Peoples Plan, Resettlement Action Plan, other). The Safeguards Advisor can assist in identifying suitable safeguard experts. Details on the risk categorization and follow up process are available in <a href="#">the Environmental and Social Sustainability Framework</a>.</p> <p>The SRIF and any required social and environmental assessments and management plans are disclosed at least 30 days for moderate risk projects and 120 days for high-risk projects prior to project approval to allow communities the opportunity to review and comment on these documents before finalization of the project documents. Comments and suggestions received are responded to or incorporated in relevant project approach and risk management plans. Projects (especially moderate or high-risk projects) should establish or specify a grievance redress process or mechanism and communicate to stakeholders how they can convey concerns and/or complaints.</p>

STEP	RESPONSIBILITY	ACTION
STEP 6	Project Manager/Developer	<p><b>Quality assessment and peer review:</b> Quality assessment of the Project Document before submitting for review and approval is encouraged. The Quality of Project Design Matrix can be used as a tool for improving project design. Peer review before a project is submitted for the approval process is considered good practice and strongly recommended. The Project Document should be peer reviewed by UNEP colleagues who have the technical expertise to improve the quality of the project document. The peer review process, if done, should be mentioned in the Project Document’s annex on Project Design Process.</p>
<p><b>Review and approval process</b></p>		
STEP 7	Fund Management Officer	<p>Review budgetary information for accuracy and provide necessary feedback to the Project Manager/Developer. Responsible for clearance of project results-based budget for accuracy of all figures, accuracy yearly budget; correctness of donor information and Project Support Costs rates and budget sign-off</p> <p><b>Note:</b> at least 25% of the total budget, or US\$200,000 (whichever is larger), must be secured before submitting the ProDoc for review of the Project Review Committee (PRC).</p>
STEP 8	Supervisor of the Project Manager/Developer	<p>Review the ProDoc to ensure UNEP quality standards and to ensure correct budget details. <a href="#">UNEP’s Matrix for Quality of Project Design</a> summarizes the relevant quality standards. Ensures relevant linkages to UN Country Frameworks is referenced, when applicable.</p>
STEP 9	Global Sub-programme Coordinator	<p>Project Manager/Developer discusses the proposed intervention with the relevant Global Sub-programme Coordinator(s), who review it with the aim of assuring:</p> <ul style="list-style-type: none"> <li>• Relevance to the PoW Outcomes, Direct Outcomes and indicators targeted in the UNEP Medium-Term Strategy (MTS) and Programme of Work (PoW)</li> <li>• Coordination and synergies with other projects across the organization</li> </ul>

STEP	RESPONSIBILITY	ACTION
<b>STEP 10</b>		<p>The Project Manager/Developer discusses the proposed intervention with his/her Head of Branch or Unit, who reviews it with the aim of assuring:</p> <ul style="list-style-type: none"> <li>• Overall appropriateness and technical quality</li> <li>• Resources required and their availability, in collaboration with the Fund Management Officer</li> <li>• An effective strategy for mobilizing additional resources, if required</li> <li>• Compliance with safeguard risk screening, including the Safeguard Risk Identification Form (SRIF) preparation, and necessary mitigation actions</li> <li>• Knowledge management to incorporate lessons learned from past and on-going experiences, including recommendations from evaluation and assessment exercises</li> </ul>
<b>STEP 10</b>	<b>Head of Branch/Unit</b>	<p>If satisfied with the overall quality of the proposed intervention, the Head of Branch clears the project for submission by signing the ProDoc and submits it to the Lead Director and Regional Director. The following documentation must be submitted:</p> <ul style="list-style-type: none"> <li>• Project Document including all annexes such as the Safeguard Risk Identification Form (SRIF)</li> <li>• Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP), where required.</li> </ul>
<b>STEP 11</b>	<b>Division/Lead Director</b>	<p>Reviews the project for feasibility and relevance and submits it to the PRC Secretariat.</p>
<b>STEP 12</b>	<b>PRC Secretariat (PCAU section, PPD)</b>	<p>Reviews completeness, assesses risk level category, and convenes Project Review Committee (PRC)</p>
<b>STEP 13</b>	<b>Project Review Committee (PRC)</b>	<p>Reviews the full ProDoc and supporting documentation. Projects are reviewed against established criteria and quality standards contained in the <a href="#">Matrix for Assessment of Quality of Project Design</a>, and summarized below. The Project Review Committee (PRC) produces a PRC report and recommendations and issues these to the Divisional Director. PRC approval follows UNEP's <a href="#">Delegation of Authority for Projects and Programme Management</a>.</p>

## SUMMARIZED QUALITY OF PROJECT DESIGN MATRIX STANDARDS

### 1. Completeness

- Covering completion of correct templates and annexes, and use of consistent and clear information.

### 2. Preparation

- Use of a credible evidence-based problem and situation analysis, including a problem-tree, quantifiable and valid baseline data, gender analysis, and evidence of stakeholder mapping and participation in project design.

### 3. Strategy

- An intervention strategy informed by problem and stakeholder analysis and represented through an objective tree describing causal pathways and a Theory of Change (ToC). Justification for the chosen strategy and cost-effectiveness.
- Uses of a Results-Based Management (RBM) approach and feasibility of Outcomes and diversity, sufficiency and necessity of activities and Outputs to achieve Outcomes.
- Risk analysis, capture of safeguard impacts in the Safeguards Risk Identification Form (SRIF), and safeguard risk categorization and risk mitigation measures.
- Stakeholder engagement, socio-economic benefits, including links to poverty alleviation.
- The project's gender responsive approach.

### 4. Results

- A Logical Framework (Logframe) consistent with the ToC and including six-monthly targets. Outcomes and Outputs that correspond to UNEP's RBM standards
- A Results-Based Budget with adequate budget estimations.
- If necessary, a Resource Mobilization Strategy and donor action plan.
- A Workplan aligned to the budget and logframe, that describes the sequence and logic of project activities.

### 5. Relevance

- The comparative advantage of UNEP, relevance to the Outcomes targeted in the PoW, and relevance to the SDGs, along with relevance to regional/national priorities, contribution to MEA goals (if applicable).
- Description of how the project will engage with the RC(s) and UNCT(s), along with UN Regional Development Co-operation Office, and regional economic commissions.

### 6. Implementation and Governance arrangements

- Overall implementation and management structure, governance and oversight arrangements, roles and responsibilities of the project manager and project staff. Identification of partners and stakeholders and their roles and responsibilities in the project.
- Information on partner vetting, due diligence, and capacity building arrangements (as applicable). Information on foreseen legal agreements.

### 7. Sustainability

- A sustainability strategy for the longer-term maintenance of project outcome(s) and benefits, including consideration for socio-political, institutional, and financial factors and an assessment of the institutional, technical, and human capacities needed to sustain these benefits.
- Description of efforts to ensure full ownership on the part of national and regional partners. Exit strategy and post-project financing mechanisms are explained.
- The project's catalytic potential is described, including how to promote upscaling, and efforts to engage with UN Country Teams and key stakeholders.
- The potential for project methods, tools, and knowledge to be used by other countries or regions (including through South-South and Triangular Cooperation) is articulated.

### 8. Learning

- Description of how lessons learned/evaluations have informed the design of the project, and use of country or regional knowledge and engagement of divisions and regions.
- Project knowledge management plan, communication strategy, monitoring plan and evaluation/review arrangements including dates, roles, and evidence of engagement with evaluation office.
- Information on how project monitoring and risk monitoring will inform project steering and decision making.

STEP	RESPONSIBILITY	ACTION
STEP 14	<b>Project Manager/Developer</b>	Address comments and recommendations made in the PRC report and submit to Supervisor/Head of Branch/Unit
STEP 15	<b>PM's Supervisor/Head of Branch/Unit</b>	Review ProDoc to ensure that recommendations from the PRC are addressed and submit to PRC Secretariat.
STEP 16	<b>PRC Secretariat (PCAU, PPD)</b>	Review and clear the ToC and Logframe. Issuance of the report to the Division Director
STEP 17	<b>Divisional Director</b>	The Director of the Division Office proposing the intervention is the ultimate authority responsible for its approval. Her/his decision, together with recommendations received, are communicated to all parties involved and published in IPMR.
STEP 17	<b>Project Manager and FMO</b>	Once the project is approved, all new project structures and WBSE should be created through IPMR including: <ol style="list-style-type: none"> <li>1. General information</li> <li>2. Logframe elements/WBSEs (level 1-4)</li> <li>3. Tagging (SDGs, gender, disability, and geographical info)</li> <li>4. Indicators and risks.</li> </ol> <p>The project is then handed over to the FMO in the Division to develop the project budget in BPC, and complete Umoja financial structures. Further information on opening Work Breakdown Structure Elements (WBSE) can be found on the <a href="#">Project Structure - Work Breakdown Structure Elements (WBSE)</a> page in WeCollaborate.</p>
STEP 18	<b>Project Manager</b>	Convenes project inception.

## Project Document (ProDoc) Template Completion

UNEP project design is guided by the [UNEP Project Document \(ProDoc\) template](#), this section provides information and guidance on how to approach completion of the template. If the project has previously passed through the concept development stage, information from the final version of the Concept Template is transferred to the draft ProDoc. Note that the current ProDoc template (April 2021) may be simplified and digitalized in the future.

COMPLETION OF THE UNEP PRODOC TEMPLATE		
Section	Summary of content required	Additional guidance sources
<b>Project Summary</b>	Project identifiers (Title, Division, Project Manager). Link to the MTS, PoW and Sub-programme, and SDGs, and relevant performance indicators. Location of project.	MTS 2022-2025 PoW 2022-2023
<b>Project Justification</b>	<p>Problem and situation analysis, and relationships between causes, problems and effects represented in a problem tree-diagram.</p> <p>A gender analysis specific to the project context. A basic map and coordinates (latitude/longitude) identifying sites that are addressed by the project.</p>	<p>Detailed guidance on how to develop a problem tree analysis, and examples, can be found in Module 2 of the <a href="#">UNEP RBM training course</a>.</p> <p>Guidance on conducting a gender analysis can be accessed via the <a href="#">UNEP Gender and Safeguards Unit</a>.</p>
<b>Intervention Strategy and Theory of Change (ToC)</b>	<p>A description of the proposed project approach and justification for why this intervention strategy was chosen.</p> <p>As a central feature of the RBM approach, all UNEP projects must have a project intervention strategy that includes a clear Theory of Change (ToC). The theory of change is a tool for planning that shows in a simple graphic manner or narrative format how a project's products and services will lead to behavioral or institutional change, leading to long-term project impact. It factors in the contextual issues that are likely to influence the proposed intervention.</p>	Detailed step-by-step guidance on how to develop a Theory of Change, and examples, can be found in Module 2 of the <a href="#">UNEP RBM training course</a>

## COMPLETION OF THE UNEP PRODOC TEMPLATE

Section	Summary of content required	Additional guidance sources
<b>Stakeholder analysis</b>	<p>Description of the individuals and groups most likely to influence or be affected by the project and explanation of how stakeholders participated in project design and how the project captures their priorities and concerns.</p> <p>Stakeholder engagement and analysis should be conducted for identifying project-specific stakeholders and assessing their interests and influence in the project.</p>	<p>Detailed step-by-step guidance on how to undertake stakeholder analysis and engagement planning, and examples, can be found in Module 2 of the UNEP RBM training course.</p>
<b>Project Management Risks &amp; Environmental and Social Safeguard risks</b>	<p>Potential management risks of the project, along with mitigation or management actions must be identified and documented.</p> <p>A summary of the project's key safeguard risks. For projects in the moderate or high-risk category, a description of the management approach proposed to avoid or minimize the risk, must also be described.</p>	<p>Problem and situation analysis and assumptions in the ToC.</p> <p>Completed Safeguards Risk Identification Form (SRIF).</p>
<b>Results Targeted - Logical Framework (logframe)</b>	<p>The Logical Framework captures a summary of the ToC and helps project personnel develop interlocking concepts in a structured and systematic manner. It is a matrix that summarizes the expected outputs and outcomes of the project. The Logical Framework includes milestones for achievement of the outcomes. It also identifies indicators for the achievement of outcomes and outputs, identifies baselines and requires the setting of targets. The Logical Framework also describes how indicators will be verified.</p>	<p>Detailed step-by-step guidance on how to develop a Logical Framework, can be found in Module 2 of the <a href="#">UNEP RBM training course</a></p>
<b>Relevance</b>	<p>Relevance to UNEP's PoW, MTS, National, Regional, and Global Priorities including the Sustainable Development Goals.</p>	



## COMPLETION OF THE UNEP PRODOC TEMPLATE

Section	Summary of content required	Additional guidance sources
<b>Implementation arrangements</b>	<ul style="list-style-type: none"> <li>• The project management structure including project manager, project team, divisional and regional offices, and project steering committee</li> <li>• Description of how the project is implemented through partners/partnerships, including information on the type and choice of partners, vetting of partners and legal agreements foreseen.</li> <li>• Description of how the project will mobilize resources.</li> <li>• Information regarding the cost-effectiveness of the project, along with summary of costs per year by project outcome and output, including main staffing and operational costs such as monitoring, reporting and evaluation. A full results-based budget is required as an annex.</li> <li>• Description of the project's monitoring plan, including organizational arrangements, responsibilities, and tools for monitoring, and reviewing project implementation. Explanation of how the project will track progress against logframe indicators toward the delivery of project outputs and achievement of outcomes, including roles and responsibilities.</li> <li>• Description of how the project will monitor management risks and social and environmental safeguard risks.</li> <li>• Identification of who will be responsible for reporting on project milestones through Umoja Integrated Performance Monitoring and Reporting (IPMR) tool.</li> </ul>	<p>Chapter 7 - Partnerships</p>
<b>Digital Transformation, Communication and Learning</b>	<ul style="list-style-type: none"> <li>• Digital influence of the project including identification of digital outputs or outcomes.</li> <li>• Project communication strategy and publication strategy (if relevant). To strengthen publication planning at the onset as required by SMT, the ProDoc should explain plans for publications.</li> </ul>	<p>Chapter 11 of the PPMM: Communications</p> <p>Chapter 6 of the PPMM: Evaluations</p>

## COMPLETION OF THE UNEP PRODOC TEMPLATE

Section	Summary of content required	Additional guidance sources
<b>Digital Transformation, Communication and Learning</b>	<ul style="list-style-type: none"> <li>• Description of how the project utilizes previous learning and data, and other UNEP data platforms and knowledge products in its design or implementation, and information about how learning from the project will be documented and communicated.</li> <li>• Project evaluation plans, including explanation of how the assessment of project performance will follow UNEP's Evaluation Policy, and for jointly implemented projects description of roles and responsibilities of UNEP and the other entity(ies) regarding evaluation arrangements.</li> </ul>	<p>Chapter 11 of the PPMM: Publications</p> <p>Chapter 6 of the PPMM: Evaluations</p>
<b>Project Sustainability</b>	<p>Description of activities that promote the project's sustainability including training, knowledge transfer and capacity-building efforts for project partners as well as a detailed process for the phased withdrawal of UNEP technical inputs and funding.</p>	
<b>Annexes</b>	<p>Annex A: Completed ProDoc Checklist</p> <p>Annex B: Budget /Proof of Secured Funds</p> <p>Annex C: Detailed Workplan</p> <p>Annex D: Safeguard Risk Identification Form (SRIF)</p> <p>Annex E: Design Process</p> <p>Annex F: Draft Donor Agreements</p> <p>Annex G: Gender Marker Self-Assessment</p> <p>Annex H: Data and Digital Transformation Checklist</p> <p>Annex I: Terms of Reference for key project team and contract positions</p> <p>Annex J: Stakeholder Response Mechanism</p> <p>Annex K: Stakeholder Engagement Plan</p> <p>Annex L: Project Beneficiaries</p> <p>Annex M: South-South and Triangular Cooperation</p> <p>Annex N: Relevance to National and Regional UN Common Programming Processes</p>	

## Donor specific concept development and design processes

Several of UNEP's key donors have their own specific processes which must be followed for concept development and project design, review and approval. UNEP's internal processes, as described in this manual take precedent over other donor processes and must be followed first. It is important to understand and plan for donor-specific processes where necessary, and to engage the relevant internal donor portfolio/coordination offices and managers in the concept development and project design processes.

### European Commission (EC)

Standard Operating Procedures (SOPs) describing concept note and proposal development for applications to [European Commission – UNEP framework agreements, and information on relevant templates](#) to use can be on WeCollaborate.

### Green Climate Fund (GCF)

Workflows illustrating the steps to be taken when developing concepts and project funding applications to the GCF can be found here. UNEP's GCF coordination office should also be contacted for further information: [unep-gcf@un.org](mailto:unep-gcf@un.org).

### Global Environment Facility (GEF)

Workflows illustrating the steps to be taken when developing concepts and project funding applications to the GEF can on the [Global Environment Facility \(GEF\) – Project Cycle Management Guidance](#). Guidance and advice on developing GEF projects is provided by [UNEP's GEF Portfolio Mangers and GEF Team](#).

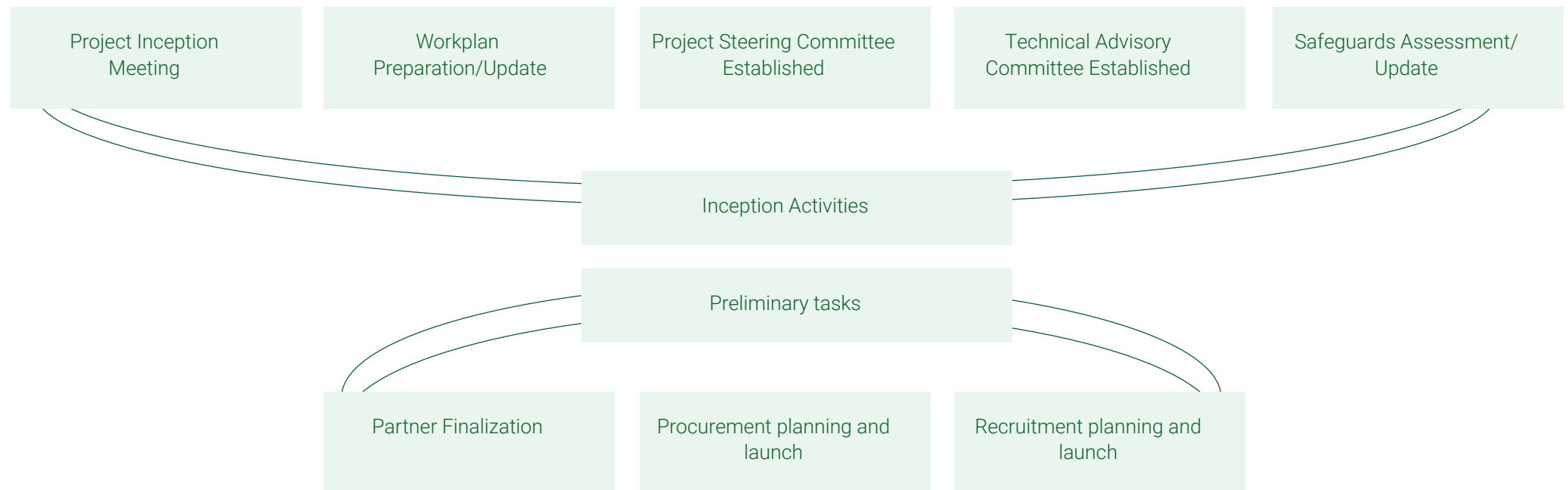
Chapter 2: Resource Mobilization contains greater information on UNEP's approach to fundraising for projects and identifies the different UNEP staff and teams responsible for managing relationships with donors and providing internal guidance on funding applications.

# Implementation, Monitoring, & Reporting

Once a project has passed the CAG and PRC stages it is considered approved and can proceed to implementation. This section provides key information on processes to follow during the implementation, monitoring and reporting phases of UNEP projects.

## Project Inception

At the onset of project implementation, all project stakeholders should have the same level of understanding of the project, its targeted outcomes, flow of planned activities and assigned responsibilities, any resource allocation needed and the timeframe to achieve results. The project inception period is when a common understanding among stakeholders is created. It is the time to establish the optimum operating conditions for the project through the completion of various inception activities and preliminary tasks in the project cycle.



## INCEPTION ACTIVITIES

### PROJECT INCEPTION MEETING

**An inception meeting should be held to bring the project team and implementing partners together to launch the project and ensure a common understanding of the project.**

During the inception meeting:

- Project management arrangements are presented and agreed upon, including the project's logical framework, and the detailed first year work-plan is confirmed.
- The budget allocation is agreed based on the available resources and the rules for budget management and revision are explained.
- Project linkages are assessed with ongoing/planned projects.
- Clear roles and responsibilities are agreed upon within a common accountability framework for the Steering Committee, Technical Advisory Committee, project team, and external partners.
- UNEP rules and regulations are explained to external partners.
- Communication lines and methods are agreed upon.
- A monitoring plan is agreed upon, its costs known, and roles agreed.
- Both project and financial reporting requirements are agreed upon with project team members and implementing partners.
- A risk management plan is updated and discussed.
- The workplan for the first year of a project is also discussed and refined in the inception meeting, although its preparation often begins during the project design phase. The inception meeting provides the opportunity to review the workplan in collaboration with the project team members, partners, and the relevant stakeholders and update it as necessary.
- The Project Manager explains the project filing system, in which all project implementation documents will be recorded, including legal agreements with partners and reporting formats and quality standards moving forward this will be via IPMR.

## INCEPTION ACTIVITIES

### PROJECT INCEPTION MEETING

Attendance at the inception meeting should include the following:

- UNEP representatives such as the Project/Task Manager, and if necessary, other staff such as the Fund Manager Officer, Sub-Programme Manager, or Division or Regional office representatives.
- Representatives of all project partners, including implementing and co-operating partners.
- Representative of the project donor(s), as and where may be required.
- Representatives of all other project stakeholders including Host Country Government representatives, and representatives of NGOs, CSOs, and other national/subregional/regional project stakeholders.

### PROJECT STEERING COMMITTEE ESTABLISHED

The Project/Task Manager establishes a project Steering Committee (SC) to provide additional management guidance. A Steering Committee can perform a valuable peer review function. The composition of the Steering Committee will vary depending on the nature of the project. It is recommended that the size be kept small (fewer than 10 members), with an appropriate mix of areas of expertise, authority, and experience. A UNEP Steering Committee includes a representative from UNEP, one representative from each implementing partner, two technical experts, a donor representative, and relevant government representatives. UNEP representation at the Project Steering Committees is mandatory and any proposed change to a project's workplan requires the consent of a UNEP representative.

Steering Committees usually meet once or twice a year.

If a project involves highly technical aspects, the Project Manager may establish a Technical Advisory Committee (TAC), made up of experts willing to provide technical advisory support to the Project Steering Committee and/or to implementing partner(s) and/or members of the project team on a regular basis. This is particularly useful for quality assurance of projects that focus on science-policy synergies or method and tool development.

## INCEPTION ACTIVITIES

### SAFEGUARDS ASSESSMENT

If elements of a project's geographical areas and scope have changed or expanded since approval, an Environmental and Social Safeguards screening and assessment must be re-done. UNEP environmental, social, and economic risks are screened using the Safeguards Risk Identification Form (SRIF).

Further information can be found in Chapter 5 – Risk Management. UNEP's ESSF Policy, and detailed information about UNEP's eight (8) Safeguard Standards, the Safeguards Risk Identification Form (SRIF), and with other useful information and contact details for the UNEP Safeguard's Advisor can be found on the [Environmental and Social Safeguards](#) page of WeCollaborate.

## PRELIMINARY TASKS IN THE PROJECT CYCLE

### PARTNER FINALIZATION

Legal instruments with implementing partners should be finalized as per the Partnerships Policy and Procedures and the Legal Instruments Guidelines.

Implementing and co-operating partnerships require:

- Justification of the partner selection, including partner's declaration on exclusion criteria, sexual exploitation, and abuse.
- Partner validation documents.
- Partnership assessment and risk mitigation plan, where applicable (PPP Procedure 4) partner's declaration on exclusion.

Further guidance can be found in:

Chapter 5 – Risk Management, Chapter 7 – Partnerships, Chapter 8 - Legal Agreements.

### PLAN AND LAUNCH PROCUREMENT

Good procurement planning is an essential component of good PCM. Early identification of commodities and quantities needed for project implementation, effective and timely solicitation of offers and delivery of goods and services will facilitate successful project implementation.

Further guidance can be found in: Chapter 10 - Procurement

## PRELIMINARY TASKS IN THE PROJECT CYCLE

### LAUNCH RECRUITMENT IF NECESSARY

Human resources for project implementation are usually sourced from existing staff in consultation with the relevant Division or Regional Office. It is the responsibility of the Project Manager to propose to his/her supervisor a project governance structure for appointment of project team members. If new human resources are needed, relevant recruitment procedures should be followed.

Further guidance, including recruitment timelines can be found in: Chapter 9 – Human Resources.





# Implementation

Under the responsibility of the Project/Task Manager, project implementation includes delivery of activities, proactive responses to the challenges and changes, and regular assessments of performance and achievements. It entails close communication with implementing partners, stakeholders, and relevant public to ensure the validity of the project's business case, manage and monitor safeguard risks, and ensure that the execution of planned activities will achieve required outcomes and outputs. The following principles and approaches guide and support effective project implementation in UNEP:



## Communication

Regular communications and updates with team members, implementing partners and key stakeholders are important to ensure all those involved are on the same page in terms of implementation requirements. It is also essential to ensure those involved agree on the status of the progress in the implementation of the project. A regular schedule of steering committee and technical advisory committee meetings provides an important opportunity to ensure those involved are on the same page and different perspectives are considered during the implementation of the project.



## Safeguards Management

During project implementation, the Project Manager and the implementing partners should comply with the safeguard-related commitments stated in the SRIF or the ESMP. Understanding dynamic changes in the situation and responding to any unforeseen events is also important: the project should respond flexibly and in a timely manner to such situations and the Safeguard Risk Identification Form (SRIF) and management plans may need to be adjusted accordingly.

Project Managers need to determine if the project is meeting the expectations of the stakeholders and affected communities. Outcomes of consultations and the status of project implementation, including safeguards and management risks, should be disclosed to the public and also on the [World Environment Situation Room \(WESR\)](#) website in a timely and transparent manner. Annual stakeholder consultations and rapid assessment of the situation including project implementation and potential risk factors are recommended.

A comprehensive risk analysis should be undertaken at the project planning stage and should be revisited at project inception. Routine updates of a project risk log are an effective means of demonstrating management attention to this issue. The risk log demonstrates how risk management has been embedded in project management activities. A portion of the overall budget



(contingencies) should be set aside to fund specific management responses to the risks and opportunities associated with the project.

During project implementation, the Gender and Social Safeguards Unit maintains an oversight function regarding compliance with safeguard management for high-risk projects. Project Managers maintain regular communication with the stakeholders and the affected public during implementation and reflect any changes to the Safeguard Risk Identification Form (SRIF) and Management Plan in the relevant documents and disclose these to the public.

Project/Task Managers should address compliance and grievance issues in a timely manner through UNEP's Stakeholder Response Mechanism. For more details, see the Risk Management section. The Safeguards Advisor in collaboration with the Head of Branch or Unit of the Division or Regional Office managing the project should keep under review moderate- and high-risk projects to assess the extent of compliance with the safeguard management plans and how potential stakeholder response (compliance/grievance) issues are proactively addressed.



### **Stakeholder Involvement and Response**

During project implementation, Project/Task Managers and their teams should continuously consult with stakeholders. When planned carefully, stakeholder workshops help to significantly support the achievement of the desired outcome; they allow for an exchange of ideas between several groups that may otherwise be isolated. They also increase the likelihood of continued communication and cooperation between different interest groups beyond the project lifetime thereby promoting ownership of stakeholders and sustainability of results. Project/Task Managers work with communication officers for them to play an important role in ensuring that messages are transmitted to a wider audience through adequate channels.

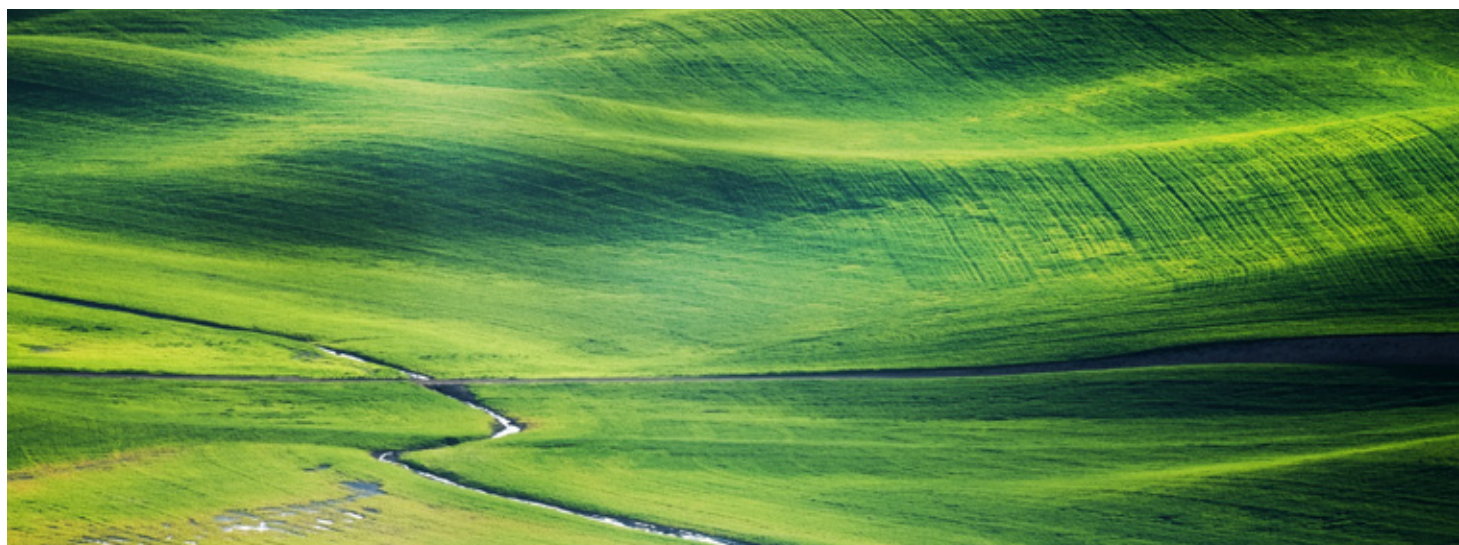
A typical kick-off or inception meeting brings all the stakeholders together (or one representative from each stakeholder group) for one or two days to review the project and to generate ideas and reach consensus on possible problems, benefits, and timelines. A mid-term workshop is held to review the results of a mid-term review or evaluation or the results of the first phase of a project and it provides an opportunity for stakeholders to raise issues and concerns and provide their views and advice. A results' validation workshop is common when the output of a project is a policy paper or a set of recommendations that must be implemented by stakeholders and partners for the result to be achieved. The outcomes of

the validation workshop should be formally accepted by participants (agreement expressed in meeting minutes, and signed off by Chair and/or co-Chair).

Project/Task Managers consistently engage with implementing partners during project implementation to ensure any differences in views are addressed. The strategy to minimize disputes is to maintain close communication, respect divergent views and needs, and respond promptly, transparently, and objectively. Working closely with the Regional Offices can facilitate avoidance or resolution of potential complaint and grievance cases. The following are some of the ways to avoid or minimize the safeguard risks and, therefore, reduce the cases for compliance review and grievance redress:

- Liaise with UNEP Regional Offices and the UN Country Team (via Regional Office).
- Liaise with UN agencies that have relevant socio-economic expertise, and that may be UNEP project partners.
- Identify and take into consideration the needs of the stakeholders during project design and throughout implementation.
- Engage stakeholders regularly and consult local stakeholders in identifying, managing, and revisiting the safeguard risks.

In case a conflict arises, UNEP's [Stakeholder Response Mechanism](#) provides the approach to responding to compliance and grievance cases related to UNEP project implementation in relation to the Environmental and Social Sustainability Framework.



# Monitoring

In UNEP, monitoring is defined as a continuing function that uses the systematic collection of data on project / programme implementation (e.g., completion of activities, rate of expenditure, emergence of risks, milestone delivery, inclusive participation of intended stakeholders, etc.) to provide management with a measure of progress against plans and targets. Reliable monitoring allows project teams to identify trends and patterns, adapt strategies, and make decisions regarding human, financial and material resources to enhance project effectiveness.

## Risk Monitoring

The Project/Task Manager should carry out regular monitoring of risks and management challenges and monitor and respond promptly to potential compliance or grievance issues in relation to safeguard risks. The project team, including implementing partners, should manage the ESMP, if one applies to the project. Close and regular communication and engagement with the relevant stakeholders and public can significantly reduce such cases. Stakeholders and concerned members of the public can raise their concerns on [UNEP Project Concern](#) form on the UNEP website. The UNEP

[Environmental and Social Sustainability - Implementation Guidelines](#) provide further information. Guidance on risk assessment and monitoring is described in Chapter 5: Risk Management.

## Progress Monitoring

Monitoring progress is a key component of RBM. A project's logical framework, delivery plan, and budget are the references against which progress is tracked and measured. If necessary, adaptive management takes place to better direct or adapt the implementation of the project towards desired results. Project-level monitoring provides the opportunity to:

- Gather data on Outputs and Outcomes, indicators, and milestones.
- Check whether projects, sub-programmes and the PoW are on track to meet organizational targets (substantively and financially).
- Verify implementing partner delivery of agreed activities according to the project workplan.
- Gather data on the implementation of environmental and social safeguards, gender considerations and risks.

- Provide data and performance information for internal reporting (results-based) and external reporting (donors, transparency portals).
- Identify problems or challenges and provide data to inform decision making and project steering, and adaptive management towards desired results.
- Generate knowledge and learning from projects, explore unintended results, and improve interventions by integrating lessons into the design and delivery of current and future work.
- Provide information to facilitate audits and evaluation exercises.

There are several key questions Project/Task Managers should consider when monitoring a project:

**Is the project on schedule?**

If there are variations to a project's schedule, then decisions are required on whether and how to deal with these variations.

**Does implementation progress correspond to financial expenditure?**

There should be a close link between technical progress, the delivery of activities and financial expenditure.

**Is the project working as well as it could work?**

Are the outputs as good as they could be and if not, in what respect could they be better? The aim of this question is to see what could be learned for future work within the project or for future projects. If some outputs are produced early in the life of the project, then the learning from early assessment can be applied to improving later products within the project's lifetime.

**Do the outputs work or are they essential and adequate to achieve the planned Outcomes?**

The question assesses the effectiveness of the product or service being developed and disseminated, in contributing to longer-term results such as outcomes. It demonstrates a results-based approach to monitoring. Lessons about the success or effectiveness of the products or services developed can be applied to the design or revision of other outputs planned under the project.

**Is the project on track to achieve the targeted Outcomes, and is the project progressing as expected according to the Theory of Change (ToC)?**

The project should also review whether the project Outcomes are on track. This requires the Project Manager, partners, and stakeholders to periodically review the ToC, logframe and workplan. Have any new 'pathways' that may lead to the desired results emerged? Are the 'impact drivers', risks, and assumptions still valid?

## Monitoring plans

The UNEP ProDoc requires a description of a project's monitoring plan, including organizational arrangements, responsibilities, and tools for monitoring, and reviewing project implementation. Monitoring plans are RBM tools that facilitate tracking of progress and gathering information about project implementation. Monitoring plans can come in a variety of forms, including site or partner visit schedules, and Indicator Tracking Tools. Monitoring and reporting become critical when a project has been classified as a high or medium level risk project when submitted to PRC, using the criteria described earlier.

### Site and partner visit schedules

Site and partner visits are important project monitoring and supervision tools. They offer the opportunity to gather information on project progress and risk management, build relationships with partners and stakeholders, and provide capacity building, technical support, and advice to implementing partners. As a monitoring tool they provide the opportunity observe project implementation, assess progress made, identify implementation challenges and solutions, and to manage risks.

Project/Task Managers are expected to undertake field site and partner visits. If the project is rated a **high-risk project** (in the context of environmental, social, and economic safeguards, for example) site visit(s) are strongly recommended as a monitoring and management tool to assess the magnitude of the potential risk, impact, and the nature of the foreseen risk.

After each visit, a mission report is prepared. If more than one team member participates in the mission, one report is prepared collectively to explain observations and recommendations in an integrated manner. Mission reports identify necessary follow-up actions with clearly identified responsibilities and time; after a supervisor's approval, mission reports are shared with the key decision makers and uploaded in IPMR. The UNEP [mission report template](#) should be used to document field visits.

### Remote monitoring

Remote / virtual monitoring provides the opportunity to engage with an implementing partner without engaging in a full site visit. It is a cost-effective method of maintaining a monitoring schedule without the need for

in-person visits; it reduces the carbon footprint; and it is best used when a field visit is not possible (e.g. during conflict or during a pandemic)A schedule for regular remote calls between Project/Task Managers and implementing partners should be established during the project inception meeting as part of a project's monitoring plan. Remote monitoring can provide the opportunity to:

- Gather interim performance data in between reporting windows, for example quarterly progress updates, and monitor risks.
- Support IPs to prepare for and complete reports to UNEP, and/or review content of reports and allow the PM/TM to gather further information or request evidence or supporting documents.
- Discuss implementation challenges and work in partnership to identify solutions, for example adapting workplans, planning for site or support visits (e.g., to provide capacity building).
- Maintain a strong working relationship with partner organizations.

## Indicator Tracking Tools

A RBM approach to monitoring uses information from the project logframe to measure progress toward expected outcomes, outputs, and milestones, and to determine whether or not targets are being met through the measurement of indicators. Direct measurement of indicators provides one of the strongest forms of evidence of project progress if the data comes from a reputable source and is accurate. It can provide statistically reliable data that can form the basis for measuring impact and change.

Building on the project Logframe, an Indicator Tracking Tool describes a project's indicators and their definitions, data sources and data collection tools and the frequency of data collection. It is a mandatory part of the UNEP ProDoc. It can be used to identify and document who is responsible for indicator measurement, data collection and analysis. It is a tool that can be used during site-visits and in-person monitoring, and as a valuable tool for remote monitoring. A sample structure for an Indicator Tracking Tool is shown below:

Indicator	Indicator definition and unit of measurement	Data collection method and sources	Frequency of data collection	Person(s) responsible	Information use/ audience
<p>This column lists indicators, which can be quantitative (numeric) or qualitative (descriptive observations) and are taken directly from the logframe.</p>	<p>This column defines key terms in the indicator for precise measurement and explains how the indicator will be calculated, i.e., the numerator and denominator of a percent measure. It also should note any disaggregation, i.e., by sex, age, or ethnicity.</p>	<p>This column identifies information sources and data collection methods/tools. It should indicate whether data collection tools (surveys, checklists) exist or need to be developed.</p>	<p>This column identifies the frequency data will be collected, i.e., monthly, quarterly, or annually. It also identifies anything to schedule, such as deadlines to develop tools.</p>	<p>This column identifies people responsible and accountable for indicator measurements. Names and titles should be provided to encourage accountability.</p>	<p>This column identifies the intended audience and use of data, i.e., monitoring, evaluation, or reporting to policy makers or development partners. When necessary, it should state ways the findings will be formatted (i.e., reports or presentations) and disseminated.</p>

## Implementation roles and responsibilities

ROLE	RESPONSIBILITY
<b>Project/Task Manager</b>	<ul style="list-style-type: none"><li>• Oversee and manages project implementation. Accountable for the day-to-day management of the project within its defined schedule and budget and ensuring focus on delivering towards Outputs and Outcomes.</li><li>• Establish relevant systems to monitor project performance and gather data and evidence. Lead, coordinate, guide and monitor the work of the team members and implementing partners against the approved project implementation plan.</li><li>• Identify and deal with implementing challenges - both administrative and technical/substantive, including political judgment – which may arise during project implementation.</li><li>• Liaise with the responsible supervisor, the project steering committee, the technical committee where necessary and manage the deliverables from project team members and partners to achieve the intended project outcome(s).</li></ul>
<b>FMO</b>	<ul style="list-style-type: none"><li>• Alert the Project/Task Manager of financial risks anticipated and provide solutions to overcome the same.</li><li>• Flag any anomalies or concerns while reviewing reports and works with the Project/Task Manager and partners to iron them out.</li></ul>
<b>Supervisor</b>	<ul style="list-style-type: none"><li>• Keep track of project implementation and delivery of results.</li><li>• Ensure that the risk management process is tracked and regularly re-assessed, and updated risk management responses are reviewed and discussed.</li><li>• Together with the Project Manager, ensure that Project Steering Committee is appropriately set up (UNEP should always have a representative serving on it) and that recommendations are agreed with UNEP and taken up.</li><li>• Support the Project Manager in delivering the project, and providing support on critical UNEP interventions as needed.</li></ul>
<b>Safeguards Advisor</b>	<ul style="list-style-type: none"><li>• In collaboration with the Head of Branch or Unit of the Division managing the project keeps under review moderate- and high-risk projects to assess the extent of compliance with the safeguard management plans and how potential stakeholder response (compliance/grievance) issues are proactively addressed.</li></ul>



ROLE	RESPONSIBILITY
<b>Head of Branch/Unit</b>	<ul style="list-style-type: none"> <li>• Provide oversight on project management and implementation support.</li> <li>• Guide the Project Manager on project feasibility and provide timely and adequate feedback to ensure effectiveness and efficiency in project delivery.</li> <li>• Identify and deal with implementation problems on both administrative and technical/substantive issues; resolving conflicts and approving changes beyond tolerance level; setting tolerance levels for the Project Manager on budget, time and output quality and the activities, within which the Project Manager has the management authority to change</li> <li>• Oversee progress through field missions or occasional communications with stakeholders.</li> </ul>
<b>GEF/GCF Programme Coordinators &amp; Portfolio Managers</b>	<ul style="list-style-type: none"> <li>• Supervise the implementation of particular GCF/GEF projects.</li> <li>• Oversee and backstop project implementation at the focal area level and monitor portfolio performance.</li> </ul>
<b>Global Sub-programme Coordinator</b>	<ul style="list-style-type: none"> <li>• Ensure coherence and coordination in monitoring and reporting of projects within the portfolio in a thematic programme and highlight relevant issues to the responsible supervisor and the Division Director.</li> <li>• Assess whether the portfolio as a whole is at risk in terms of delivering the results the organization has planned to achieve in the Medium-Term Strategy (MTS) and Programme of Work (PoW), to which a given project is a part.</li> </ul>
<b>Division Director/Regional Director</b>	<ul style="list-style-type: none"> <li>• Monitor and assess a project's contribution towards delivery and achievement of Outputs and Outcomes in the Medium-Term Strategy (MTS) and Programme of Work (PoW).</li> </ul>
<b>Project Steering and Technical Committees</b>	<ul style="list-style-type: none"> <li>• A regular schedule of steering committee and technical advisory committee meetings provides an important opportunity to ensure those involved in the oversight of a project or programme can discuss implementation progress, review monitoring data and reports and provide advice regarding project direction, and to ensure that different perspectives, are considered during the implementation of the project.</li> </ul>

Further information and guidance on monitoring can be found on the [Policies, Guidelines and Templates](#) page in WeCollaborate. In 2023 UNEP will launch a revised Monitoring and Reporting policy to guide the organization's approach in these areas.

# Reporting

Reports show how UNEP has used resources to achieve results and are a means through which the organization is held accountable to stakeholders and target communities, governments, implementing partners, funding partners, and the general public. Evidence and results-based reporting is an essential element of RBM, and it is becoming increasingly important as UNEP moves towards a results-based focus. Results-based reporting:

- Focuses on results rather than on activities, and describes changes in Behavior, Action/Attitude, Condition, Knowledge, Skills (BACKS).
- Refers to precise criteria for success. Outputs and Outcomes as described in the project logframe, and Outcomes as described in the PoW.

Timely and quality reporting is a crucial step for knowledge management in UNEP and serves as useful information on the project when it is audited or evaluated. It enables the project team to show the quality of implementation, management, and supervision of a project.

## Implementing Partner (IP) reporting

Implementing Partners (IPs) should be made aware of UNEP reporting requirements and procedures at the beginning of a project. This can form part of the discussions during partner briefings, inception meetings, and negotiation and conclusion of implementing partner agreements. Implementing partners are always required to report to UNEP on a bi-annual basis although more frequent reporting may be requested by a Project/Task Manager. Financial reporting by IPs is described in chapter 4 of this manual. IP performance and expenditure reports should be uploaded in the Grantor Module of UMOJA.

### IP reporting roles and responsibilities:

ROLE	RESPONSIBILITIES
<b>Implementing Partners</b>	Submit progress reports (substantive and financial) to UNEP according to schedule and accountabilities described in the implementing partner agreement.
<b>Project/Task Managers</b>	Review IP progress reports (substantive and financial) carefully and assess their completeness and quality, request any additional or missing information required, and based on information reported, provide adequate and timely advice to the implementing partner for any course-adjustment.

## UNEP Internal Performance Reporting

At the time of writing, UNEP project performance reporting is conducted through PIMS every six months. In future, project reporting will be completed through IPMR in UMOJA. Further information will be communicated to staff in due course. Reporting deadlines are 30 June and 31 December of every year. At the Output and Outcome level, the following information is required:

<b>Results achieved</b>	Narrative description of results achieved, including key achievements and information on progress made toward output delivery. Explanation for lack of progress. Maximum 150 words.
<b>Indicator data</b>	Cumulative interim progress toward achieving each indicator target.
<b>Milestone achievement</b>	Progress towards milestones to be attained per the reporting period in question. In case the milestone has not been attained or attained after the original planned date, the reason for none or late attainment should be entered at the remarks section.

In addition, Project/Task Managers were required to upload documentary evidence in PIMS to validate reporting at indicator and milestone levels, for example related reports, third party evidence to substantiate progress made, project reviews and evaluation reports. Internal project performance reporting is expected to migrate to IPMR in 2023. Further information and guidance will be provided to staff at a later date.

### Performance monitoring roles and responsibilities

ROLE	RESPONSIBILITIES
<b>Project/Task Managers, Supervisors and FMOs</b>	<ul style="list-style-type: none"> <li>Report with supporting evidence on a six-monthly basis in the relevant reporting platform, previously in PIMS, but currently in IPMR, on progress toward project Outputs and Outcomes and contribution to Programme of Work (PoW) outcomes/direct outcomes.</li> <li>Maintain up to date records and upload all relevant evidence of project results.</li> </ul>

ROLE	RESPONSIBILITIES
<b>Supervisor</b>	<ul style="list-style-type: none"> <li>• Approve the periodic reporting of the Project/Task Manager on IPMR.</li> <li>• Clear the annual reporting and approve any other report documents.</li> </ul>
<b>Regional and Global Sub-Programme Coordinators</b>	<ul style="list-style-type: none"> <li>• Provide reports to Member States to show whether the portfolio is delivering on results at the portfolio level, to which a given project is a part.</li> </ul>
<b>Division Director</b>	<ul style="list-style-type: none"> <li>• Assesses project contributions towards delivery and achievement of Outputs and Outcomes in the Medium-Term Strategy (MTS) and Programme of Work (PoW).</li> </ul>
<b>Policy and Programme Division (PPD)</b>	<p>Uses evidence to validate performance data with Regional and Global Sub-programme Coordinators and if needed, with responsible Directors of Sub-programmes.</p>

## Quality Assurance of Reports

To guide UNEP staff in producing project performance reports, the organization has developed a [quality assessment matrix for performance reporting](#). It should be used by Project/Task Managers to guide the development of high-quality reports, and to understand the type of information and detail required. The matrix assesses reports for inclusion of the following types of information and content:

- Highlights, and discussion of key results over time including contribution to outcomes in UNEP's PoW.
- Lessons learnt, related to project design, selection of partners, geographical scope, and whether results meet expectations.
- Analysis of expenditure vs. budgeted costs, and the main reasons for deviations.
- Description of implementation challenges and management actions.
- Description of progress towards outputs and outcomes, including evidence to support reported progress, and milestones.
- Description of delivery of key products and services, and use of evidence to support reporting.

## External Reporting to Donors

Donor reporting requirements and accountabilities vary from one donor to another and are described in the legal agreement/contract between UNEP and the donor. Some donors, who provide softly earmarked funding, such as Norway and Sweden receive progress reports via UNEP's annual Programme Performance Reports. Other donors such as the GEF, GCF, EC and IKI are more specific and require use of their own reporting formats, and some donors may not provide a specific format. Project Manager and FMOs are responsible for ensuring they are aware of donor reporting requirements, and establishing monitoring and reporting procedures to meet them.

### Roles and Responsibilities

ROLE	RESPONSIBILITIES
<b>Project/Task Managers &amp; FMOs</b>	<ul style="list-style-type: none"> <li>• Maintain an understanding of donor reporting requirements including type of information required, format to be used, and frequency of reporting.</li> <li>• Establish relevant systems to monitor project performance, and gather data and evidence, including IP reports to complete donor reports.</li> <li>• Prepare donor report.</li> </ul>
<b>Supervisor</b>	<ul style="list-style-type: none"> <li>• Review draft donor reports for completion, accuracy, and quality, provides any necessary feedback to the Project/Task Manager</li> </ul>
<b>Gender and Safeguards unit</b>	<ul style="list-style-type: none"> <li>• For projects rated as moderate or high risk in the SRIF, a request should be made to the Gender and Safeguards unit to review relevant sections of the donor report.</li> </ul>
<b>Branch Head/Portfolio Manager</b>	<ul style="list-style-type: none"> <li>• Reviews for quality control and gathers input/review from other teams or units if necessary.</li> </ul>
<b>Division/Regional Director</b>	<ul style="list-style-type: none"> <li>• Report is shared with the Division/Regional Director for information.</li> </ul>

### Evaluation

Evaluations and management-led Reviews of a project are an integral part of an RBM approach. Mid-term and terminal assessments enable UNEP to learn from and improve performance and provide substantive accountability. Detailed information and guidance can be found elsewhere in this PPMM.

## Adaptive Management

Monitoring progress towards results, using the logframe, work plan, and budget, is one of the key processes during project implementation necessary to understand and track progress towards goals. Evaluations, assessments, and management-led reviews are also crucial for knowledge management and learning from implementation. Risk Monitoring and management is a third process that is key to understanding whether a project is on track to meet its targets, and whether events or conditions might occur, or have occurred that could have an adverse effect on results.

In UNEP's Results-Based Management (RBM) approach, these three elements provide opportunities to learn and to adapt the management of a project or programme and strengthen its implementation towards desired results. Adaptive management can enable timely resolution of issues and challenges and management of risks.

## Adaptive Management Measures

**Adaptive management measures may be identified formally or informally:**

- Formal identification may come from the results of an evaluation or review, in the form of recommendations to be implemented during the life cycle of a project or programme, or in the form of audit recommendations that influence the implementation of a programme.
- Informal identification may come from the process of continuous performance and budget monitoring, or importantly from risk management and monitoring, as well as from analysis of challenges encountered in project implementation, leading to the identification of changes that need to be.

**Adaptive management measures should be designed to resolve issues, and allow for course correction. At the project-level, measures could include the following:**

- Strengthened collaboration with UNEP technical teams or staff, or with project partners, to deliver greater technical knowledge to a project.
- Strengthened collaboration with other project stakeholders, such as Member State Government departments, NGO/CSOs, Private Sector, local communities, and governance structures.
- Capacity building either for UNEP staff or staff of implementing partners or executing agencies, to strengthen knowledge and abilities to implement a project and deliver results.
- Strengthening of human resource capacity through restructuring of project teams, or through the planned and budgeted recruitment of additional staff.
- Improved or increased monitoring and collection of evidence about changes influenced by a project, both expected and unexpected, and course correction. This could involve increased engagement with and monitoring of project partners and delivery of activities.
- Project revision, including:
  - » Financial revision (annual or ad-hoc), within allowed budget parameters, to better align a budget towards project delivery.

- » Programmatic revisions, including, changes to project results – Outcomes, Outputs, and activities, change to implementation modalities, for example by addition of new partners. Further information about project revisions can be found below. Changes in projects must be registered through project revisions.
- Project closure. In certain circumstances, the changes required to improve delivery of a project may be significant enough to mean that under UNEP rules, the project should be closed, and a new project started. The design of any new project(s) would expect to be influenced by what was learnt during the implementation of previous projects. Further information can be found below.

At the programme level, adaptive management involves learning from project implementation, through reporting, evaluation, and assessment, and through audits, and using learning to influence the development of new projects targeted towards delivery of outcomes in UNEP's MTS and PoW.

Project contexts or circumstances in which a project is being delivered can change and there may be more efficient and effective ways to achieve project outputs and outcomes. Adaptive management should aim to strengthen the delivery of results. It should not be used to hide poor/inadequate project design and/or project management, or to hide poor project progress or performance.



# Project Revisions

Project revisions are financial and/or programmatic changes to project specifications. In UNEP, the following approach applies:

- All projects may undergo a financial revision at the end of each year (as relevant and as may be needed), with the aim of adjusting the project budget to the actual income and expenditures.
- When programmatic changes are required (specified below), a formal review and approval process is applied. If financial changes affect the results framework or the project funding, then the revision must be considered a programmatic revision and programmatic and financial modifications must be developed side by side.

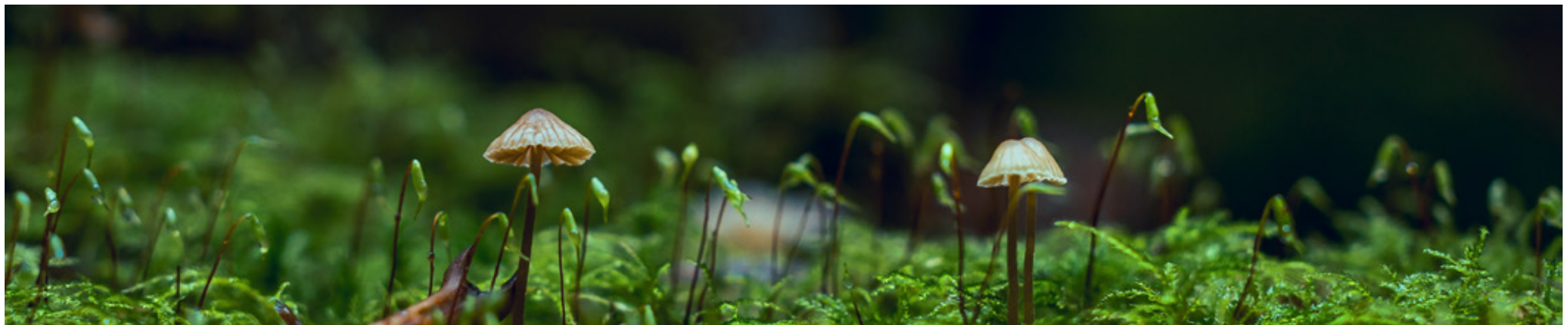
Project Managers are responsible for monitoring project performance, continuously assessing the project's

business justification and adapting management to achieve the intended results. In case of modifications affecting the time frame, implementation, results, and budget, as specified in the table below, a project revision is needed. A project can be submitted for revision at any point during its approved lifetime; retroactive revisions are not permissible.

The over-riding principle for all UNEP projects is that they should be completed, and targets achieved, within the planned timeframe and budget. In certain circumstances extensions to project timelines are approved. Although project extensions may at times be unavoidable and necessary for achieving project goals, they inevitably lead to an increase in UNEP's engagement on the project with more time and costs incurred by UNEP staff. All project extensions have hidden costs to both UNEP and partners. Project extensions may also have negative impacts on the project outcomes when senior

executing agency staff or UNEP staff change, or where extension results in project funds being transferred from activity budget lines to project management. Project/Task Managers, with support from the FMO, are responsible for monitoring the project throughout its development and implementation and ensuring that, as far as possible a project is delivered within the agreed timeframe and budget, and according to the workplan.

The project should maintain its original business case. If a project requires extensive changes, the Project Manager should cancel the current project and consider, in consultation with their Supervisor whether there is a need to formulate a new one. The table below summarizes the general criteria that govern whether a project revision or a new project is required; however, judgement should be made on a case-by-case basis.





## TYPE OF REVISION REQUIRED

Type of change to project	PROJECT REVISION	PROJECT CANCELLATION* AND POSSIBLE NEW PROJECT
<b>Timeframe</b>	<p>A Project Manager/Task must deliver their results in line with the work-plan, and s/he is responsible for monitoring the delivery of a project and anticipating and mitigating problems as they arise to minimize the need for project extensions.</p> <p>Extensions (including timeframe) should be exceptional as they increase UNEP's (and partners') transaction costs and can result in poor performance ratings.</p>	Timeframe is a factor for deciding on new proposal when evaluation or assessment findings suggest that a new proposal is required to address changes in the context, which in turn affect the business case or the desired results.
<b>Business case</b>		Change in the business case as presented in the project Theory of Change.
<b>Contribution to PoW</b>	Changes to contribution to the Programme of Work	Contribution to PoW disappears
<b>Logical Framework</b>	Changes in Outputs, including indicators and targets	Changes that affect achievement of project Outcomes (not just the outcome indicator target)
<b>Location</b>	Changes in selected countries or regions	Change in selected countries or regions that affects the choice of the global or regional partners and implementation arrangements.
<b>Implementation Modalities</b>	<p>Change in implementation modalities that affects:</p> <ul style="list-style-type: none"> <li>• Managing Division/Regional Office</li> <li>• Division/Regional Office responsible for project outputs</li> </ul>	Changes to the main implementing partner.
<b>Budget</b>	Changes to the original approved project budget	New funding changes the business case of the project.

\*In instances where a new project is required, the project cancellation process should be followed as described below.

## UNEP Project Revisions Workflow

STEP	ROLE	RESPONSIBILITY
STEP 1	<b>Project/Task Manager</b>	<ul style="list-style-type: none"> <li>Leads the revision process, and completes the revision template, detailing specific changes and justification for changes, details on how the revision includes relevant evaluation findings, risk mitigation measures and lessons learned.</li> <li>Prepares a revised work plan, a revised logical framework, and revised budget. Updates are to be reflected in IPMR, under oversight of the Project Supervisor.</li> <li>The project revision template can be accessed here: <a href="#">UNEP Project Revision Template</a></li> </ul>
STEP 2	<b>Fund Management Officer (FMO)</b>	Supports development of revised budget and reviews for accuracy and completeness.
STEP 3	<b>Head of Branch/Unit</b>	Reviews revised project documents and revision template.
STEP 4	<b>Evaluation Office (optional)</b>	Consulted to verify that evaluation budget is adequate for the revised project.
<b>Review and Approval</b>		
STEP 5	<b>PRC Secretariat (PCAU, PPD)</b>	<ul style="list-style-type: none"> <li>Reviews project revision template and documents to ensure compliance with logical framework requirements and to ensure correct revision process is being followed.</li> <li>Convenes the Project Review Committee (PRC) to review substantive changes, if needed.</li> </ul>
STEP 6	<b>Project Review Committee (PRC)</b>	<p>Reviews the project revision and provides:</p> <ul style="list-style-type: none"> <li>Recommendations on the project intervention</li> <li>Clearance of the project's logical framework</li> <li>Clearance of changes in project budget against originally approved budget</li> </ul>

Authority for approving project revisions is delegated as follows as per UNEP's delegation of authority framework:

PPM.2	Revisions to Project Document (ProDoc)		From Whom	Roles and Responsibilities					
			Executive Director	Deputy Director	ASG New York	PRC	Division Directors	Regional Directors	Other D2 and D1 Heads of Offices reporting to ED/DED
	A. Less than or equal to USD 500,000		APPROVE	-	-	INPUT	APPROVE	APPROVE	APPROVE
	B. Greater than USD 500,000		APPROVE	-	-	CLEAR	APPROVE	APPROVE	APPROVE



# Project Cancellations

Project cancellation must be carefully considered as it affects the organization's ability to deliver results in the Medium-Term Strategy (MTS) and Programme of Work (PoW). Project cancellation is considered only in exceptional cases and must be formalized and documented. In case of project cancellation, the same procedure for project revision and project closure applies, with due modifications as detailed below.

STEP	ROLE	RESPONSIBILITY
STEP 1	<b>Project/Task Manager</b>	Utilizing the project revision template, the project manager under the oversight of the Project Supervisor, issues a project revision for cancellation of the project providing justification for the proposed cancellation.
STEP 2	<b>Head of Branch/Unit</b>	The project cancellation must be signed off by the Head of Branch/Unit and the Division Director managing the project.
STEP 3	<b>Global and Regional Sub-programme Coordinators</b>	The Global and Regional Sub-programme Coordinators should be involved in the discussion on cancellation of a project as this will impact the delivery of the corresponding programme level results in the MTS and PoW.
<b>Review and approval</b>		
STEP 4	<b>PRC Secretariat (PCAU)</b>	<ul style="list-style-type: none"> <li>Project cancellations must undergo review by the Project Review Committee (PRC).</li> <li>The PRC Secretariat convenes the PRC, and the PRC reviews the request for cancellation and provides recommendations.</li> </ul>
STEP 5	<b>Project/Task Manager, Head of Branch/Unit &amp; Sub-programme Coordinator</b>	<ul style="list-style-type: none"> <li>Addresses recommendations from the PRC. If the PRC recommends integration of planned work /expected results into another project(s), the Project/Task Manager liaises with the relevant Head of Unit and or Sub-programme coordination to consider how to action this.</li> <li>If cancellation is recommended by PRC the cancellation request is submitted to the Division/Regional Director.</li> </ul>

STEP	ROLE	RESPONSIBILITY
STEP 6	Director	Approval can be granted in line with UNEP's delegation of authority for project revisions (described on the previous page)
<b>Administrative and Financial Closure</b>		
Step 7	<b>Project Manager/Task Manager and FMO</b>	<ul style="list-style-type: none"> <li>• Cancellation of existing projects with ongoing activities follows the closure procedure outlined below. In this case, the final project report must be prepared as described below.</li> <li>• In case of cancellation of projects with no ongoing activities and no expenditures, the financial closure procedure applies with due adjustments. For example, a Non-Expendable Equipment inventory is not necessary as there have been no items purchased under the project. In this case, the final project report is not required.</li> </ul>
Step 8	<b>Project Manager/Task Manager and FMO</b>	The project status is updated in IPMR. All entries are to be done by Project Manager/Task Manager with oversight support from Project Supervisor.



# Project Closure

## UNEP Operational Completion

A project is operationally complete when the outputs indicated in the project document have been delivered and the related operational activities have ceased, or when a project extension request has not been granted. The following steps/activities should take place at operational completion:

ROLE	RESPONSIBILITY
<b>Project/Task Manager, FMO</b>	<b>Closure of legal agreements with Partners</b> <p>Any activity or legal agreement cannot remain open after the main project has been closed. In consultation with the Fund Management Officer, the Project Manager should review contractual requirements and clauses of relevant legal instruments in terms of project completion and closure and ensure all legal instruments have expired before project closure. In the establishment of legal agreements, care should be taken that none run longer than the project to which they are linked. Effective communication and collaboration with project partners (in particular implementing partners to whom funds have been disbursed) is important, as well as project management/governance structures (e.g., project Steering Committee). Further information about legal agreements can be found in Chapter 8 – Legal Agreements.</p>
<b>Project/Task Manager and Evaluation Office</b>	<b>Terminal Evaluation/Review</b> <p>At least six months before a project's operational completion, the Project Manager notifies the Evaluation Office of the upcoming project end date and provides all the information needed to plan the terminal evaluation. Terminal Evaluations / Reviews should be planned in advance but cannot be launched more than three months prior to a project's operational completion. The Project Manager (or in their absence the Project Supervisor) is responsible for liaising with the Evaluation Office during the evaluation and for finalizing the recommendations and implementation plan. Project level evaluations managed by the Evaluation Office are selected purposively to reflect UNEP's strategic intentions and results' commitments. Where the Evaluation Office decides not to conduct a terminal evaluation, a management-led review is mandatory.</p>

ROLE	RESPONSIBILITY
<p><b>Project/Task Manager and Evaluation Office</b></p>	<p>It is the responsibility of the Project Manager to ensure that all steps and procedures needed to undertake the review are done. For a Terminal Review, the Project Manager prepares the TOR, and the Implementation Plan in response to the review recommendations for his/her supervisor to review and approve.</p> <p>Further information about evaluations and management-led reviews, including criteria for selection for terminal evaluation, can be found in Chapter 6 – Evaluation.</p>
<p><b>Project/Task Manager and Steering Committee</b></p>	<p><b>Operational Completion</b></p> <p>As part of an RBM approach, and good project-cycle management, Project/Task Managers should constantly liaise with implementing partners so that they ensure the completion of planned activities. If the project has a Steering Committee, the Project/Task Manager should obtain confirmation of the project completion from the Committee at its final meeting.</p> <p>As a best practice, a final validation/closure workshop with all project partners and stakeholders is required to ensure the sustainability of results from the project’s interventions, knowledge transfer and uptake of approaches developed during the project</p>
<p><b>Project/Task Manager, FMO, Project Team and Partners</b></p>	<p><b>Final/Operational Completion Report</b></p> <p>Once the project is operationally completed, the Project/Task Manager in collaboration with the project team and with information from relevant stakeholders and implementing partners prepares the Final/Operational Completion Report. The report provides information on results achieved, including reporting on logframe targets, gender, environmental and social sustainability measures taken, challenges encountered, best practices and lessons learned. Collaboration with the Fund Management Officer is required concerning reporting on financial and administrative issues.</p> <p>The Final/Operational Completion Project Report is distinguished from an evaluation. The latter is an impartial external assessment, while the former is a management-led self-assessment / reporting exercise. The project completion report can be used to inform the evaluation.</p> <p><a href="#">UNEP’s Operational Completion Report Template</a> can be found on WeCollaborate.</p>

ROLE	RESPONSIBILITY
<b>Project/Task Manager, FMO, Project Team and Partners</b>	<p><b>The Report must include the following as its annexes:</b></p> <ul style="list-style-type: none"> <li>• Final Expenditure Statement prepared by the implementing partner as per template</li> <li>• Inventory of Non-Expendable Equipment prepared by the implementing partner</li> </ul>
<b>Project/Task Manager, FMO, Project Team and Partners</b>	<ul style="list-style-type: none"> <li>• Final Audited Statement of Accounts (if applicable): whenever required by the legal instrument (also, if the project budget for the partner exceeds US\$200,000), the partners must submit a Final Audited Statement of Accounts for certification by a recognized firm of public accountants. If the partner is a government agency, a final statement of accounts can be certified by an authorized signatory on its behalf, and the audit report from the government auditor may be accepted. The documents should be prepared in accordance with the terms of conditions of the relevant legal instrument.</li> </ul> <p>The final report has to be signed off by the Project/Task Manager and FMO.</p>
<b>Project Manager, Project Supervisor, Global Sub-programme Coordinator, Head of Branch Unit, and Division Director</b>	<p><b>Final/Operational Completion Report Sign-Off</b></p> <p>The Project Manager's Supervisor signs the Report and sends it to the Global Sub-programme Coordinator, and the Head of Branch/Unit of the Division/Office managing the project for sign off. The Project Supervisor is accountable for reports being completed at the time of planned/approved operational closure. Previously report submission to the Programme Performance and Support Unit was a pre-requisite for change of project status in PIMS. Thereafter the Project Manager uploads project reports, including the project final reports and the evaluation report, along with other project outputs, into the organization's PIMS. In future, project report upload will migrate to IPMR once the UMOJA Dashboard is in use. Further information will be communicated to staff in due course.</p> <p><b>Knowledge Management</b></p> <p>The Head of Branch initiates a process of knowledge management in which the project results, lessons learned and recommendations from the evaluations (Mid-Term Evaluation, Terminal Evaluation, and all other reports and assessments) are discussed internally, and arrangements related to knowledge management, distribution of material, reports, filing of documents etc., are made.</p>



**ROLE****RESPONSIBILITY****UMOJA****Closure in UMOJA**

A time limit of 12 months is set between technical project completion and project closure, depending on the time needed to complete the project's Terminal Evaluation or Terminal Review. The closure date is the date when the project is financially closed (see section below).

Any expenditure made against the project budget after the operational completion and before project closure will not be paid; however, expenditures incurred or committed before the completion date, but submitted after the completion date may be paid. Commitments raised for evaluation before the completion date can be disbursed until the financial closure.

Once all the grants of the funded programme in Umoja become financially closed, the project is subjected to technical closure. The project user status in UMOJA is manually set to 'TECO', i.e., technically completed by the Fund Management Officer in the managing Division. The Technically Completed/Closed (TECO) status indicates that a project task/activity is completed but allows actual postings/settlements to occur. No new commitments can be created for a project with TECO status. If the TECO status is cancelled on a Work Breakdown Structure Element (WBSE), the status will be automatically set back to 'Release' for that particular Work Breakdown Structure Element only.

At this point, the procedures for financial and administrative closure start.

## Financial and Administrative Closure

The procedure for financial and administrative closure of projects involves the Division managing the project, the Corporate Services Division's Finance and Budget Team, and the United Nations Office in Nairobi (UNON). The main steps are summarized below, for detailed financial and administrative procedures, refer to the [BFMS Standard Operating Procedure 114- Financial Closure of Projects](#). Financial closure must take place at the latest within 12 months of operational closure or after the date of cancellation. Should the donor agreement dictate different timeliness, the financial closure should comply with the donor(s) requirement.

ROLE	RESPONSIBILITY
<b>Project/Task Manager, FMO, Division Director,</b>	<p><b>Financial Closure</b></p> <p>Under the oversight of the Project Supervisor, the Project Manager/Task Manager initiates the financial closure by preparing and submitting the substantive Final Report including evidence of outputs and outcomes deliverables to the responsible Fund Management Officer, to confirm technical completion of the project. Where implementing partners are engaged, the Project/Task Manager obtains, reviews, clears and submits the reports as required by the legal agreement between UNEP and the partner.</p> <ul style="list-style-type: none"><li>• The FMO reviews all financial documentation and certifies final project expenditures. They prepare the project's closing documentation to be submitted for the approval of the Director of the Division managing the project.</li><li>• All procedures concerning financial closure should be completed within a year of the operational completion date. See Chapter 4: Financial Management for further information. Key tasks include the following:<ul style="list-style-type: none"><li>• Settlement of pending financial obligations and conclusion of outstanding commitments.</li><li>• Updating of all financial accounts and posting of all adjustments and/or reclassifications.</li><li>• Writing off over/under expenditures and accounting for currency gains/losses; and</li><li>• Liquidating, writing off, or transferring/reprogramming to other approved project(s) advances to vendors or staff.</li></ul></li><li>• Once the project is closed, no additional financial transactions affecting the final status of the project accounts may be entered. If, after the approval of closing revision, the partner reports additional activities or expenditures amounting to more than the contingency un-liquidated obligation of US\$10,000, such activities or expenditures may not be paid or reimbursed.</li></ul>

ROLE	RESPONSIBILITY
<p><b>Project/Task Manager and FMO</b></p>	<p><b>Return of Unspent Funds</b></p> <p>The basis for returning unspent funds is the agreement signed between UNEP and the partner to whom funds were disbursed. If any unspent balance remains, the Fund Management Officer, upon the Project Manager's request (as initiated by the Project Supervisor), formally requests the partner(s) to return the unspent funds, copying the Donor Partnerships Section in the Corporate Services Division.</p>
<p><b>Finance and Budget Team, Budget, and Financial Management Service UNON.</b></p>	<p>The Finance and Budget team checks that the financial requirements are in place and verifies that expenditures have not exceeded allotments. The Budget and Financial Management Service (BFMS) within the United Nations Office in Nairobi verifies that all expenditures are correct and there are no outstanding receivables or payables in UMOJA</p> <p>Within the UNON Accounts Section, the Financial Reporting Unit (FRU) clears the financial closure of projects. The Chief Accounts Section has the overall responsibility for financial closure of a Grant in UMOJA.</p>
<p><b>Project Manager</b></p>	<p>The Project Manager enters the status of the project in UMOJA from 'completed' to 'closed', with confirmation provided by the relevant Approver The date of closure is the date of financial closure of all accounts.</p> <p>The following documents are uploaded in the system to enable closure:</p> <ul style="list-style-type: none"> <li>• Copy of signed Project Action Sheet</li> <li>• Project Final Report</li> <li>• Inventory of Non-Expendable Equipment (including the signed transfer agreement)</li> <li>• Final Financial Statement (audited financial report)</li> <li>• Financial Expenditure Report</li> <li>• Terminal Evaluation Report</li> </ul>

# Environmental Emergency Response

It is important to assess the environmental impacts of disasters and conflicts to minimize their negative impacts on life, livelihoods, and long-term recovery. Within the UN system, UNEP, and the Office for the Coordination of Humanitarian Affairs (OCHA) play a key role in ensuring that environmental issues are addressed during major disasters or conflicts, and during the recovery process. Over the last decades, both institutions have developed procedures for post-disaster response. The institutions have also established procedures for collaboration during the various phases of disasters and conflicts; these procedures aim to avoid duplication and ensure the best use of resources.

## Requests for Post-Crisis Technical Environmental Support

Requests for assessment of environmental issues relating to a disaster or assessment of an environmental emergency may come to UNEP, the Office for the Coordination of Humanitarian Affairs, or the Joint Environment Unit (JEU, a joint venture of UNEP and the Office for the Coordination of Humanitarian Affairs Environment Unit) through one of the following sources:

- Directly from the affected country, through its government or the institution charged with emergency response
- From the UN Special Representative of the Secretary General (SRSG) / Resident Coordinator or Humanitarian Coordinator in the affected country
- From the World Bank, European Commission, or a UN agency

Within UNEP, the requests may be received directly by the Executive Director, one of the Regional Directors, the organization's Post-Conflict and Disaster Management Branch (PCDMB) or any other UNEP office. Regardless of which office (or officer) receives the request, during the emergency phase, the initial request is passed on to the Joint Environment Unit, which then coordinates the response. All relevant UNEP offices are kept informed of the progress of the response.

## Standard Procedure for Deployments

Technical environmental support is offered in partnership with other agencies and partners, where the Joint Environment Unit acts as a mobiliser and broker of assistance. Support can take the form of remote support or on-site assistance, with a technical support mission mobilized if necessary. In case of a mission, the following mechanisms can be used by UNEP and/or the Joint Environment Unit to support affected countries.

## STANDARD PROCEDURES FOR DEPLOYMENT

### 1. UN DISASTER ASSESSMENT AND COORDINATION TEAM DEPLOYMENTS

In the event of a major disaster, the UN Disaster Assessment and Coordination Team (UNDAC) is normally the first team to be mobilized. A global call for environmental expertise is made simultaneously with UNDAC Team alerts. Names of environmental experts are proposed to the Office for the Coordination of Humanitarian Affairs Field Coordination Support Section (FCSS), who make the final decision on the composition of the UNDAC Team.

In response to an environmental emergency, a stand-alone UNDAC environmental emergency mission can be mobilized under the coordination of the Joint Environment Unit.

### 2. JOINT ENVIRONMENT UNIT DEPLOYMENT

In some cases, a full UNDAC team is not deployed but the situation still warrants the deployment of environmental experts. In this case, the Joint Environment Unit coordinates the mobilization of environmental experts, drawing on the resources of its network of partners and response providers. Experts can also be mobilized through the Office for the Coordination of Humanitarian Affairs, Stand-By Partnership Programme.

### 3. POST DISASTER/CONFLICT NEEDS ASSESSMENTS DEPLOYMENT

Post Disaster / Conflict Needs Assessments are coordinated by the Post-Conflict and Disaster Management Branch with the UN, the World Bank and the European Commission. When a request is received, the Post-Conflict and Disaster Management Branch reviews its internal roster of experts, who have been trained in Post Disaster/Conflict Needs Assessments methodology and they are deployed. The expert(s) coordinate their work with the Post Disaster/Conflict Needs Assessments team on the ground.

### 4. POST DISASTER/CONFLICT ENVIRONMENTAL ASSESSMENTS

In case a disaster warrants a dedicated environmental assessment covering multiple environmental issues and leading to a UNEP report, a multi-disciplinary team is organized by the Post-Conflict and Disaster Management Branch, which then manages the deployment.

# Roles and Responsibilities

This section details the roles and responsibilities of the Project Team, with a principal focus on the Project Manager/Task Manager and the Project Supervisor.

STAGE	PROJECT MANAGER / PROJECT DEVELOPER / TASK MANAGER (FOR GEF AND GCF PROJECTS)
<b>Concept Development and Project Design</b>	<ul style="list-style-type: none"><li>• Develop the Project Concept and/or Project Document (ProDoc) including the Workplan and Logical Framework.</li><li>• Lead consultations with stakeholders, site visit(s), baseline, and assessment studies, and gathering of detailed project and contextual information.</li><li>• When pertinent, develop the Project Preparation Proposal and, in collaboration with the Fund Management Officer, the Project Preparation Proposal budget.</li><li>• In collaboration with the Fund Management Officer, develop the project budget.</li><li>• Consult the Safeguards Advisor/Unit in the Policy and Programme Division (PPD) as early as possible to identify potential project risks.</li><li>• Prepare SRIF and hold primary responsibility for publicly disclosing the document to relevant stakeholders through UNEP Live, following the ESSF screening procedure.</li><li>• Carry out the Impact Assessment and Management Plan, if necessary, to address the identified potential Environmental Social Economic Safeguard risks.</li><li>• Incorporate comments and observations from the Gender and Safeguards Unit and external stakeholders and prepare the Impact Assessment and Management Plan to addresses potential Environmental and Social Safeguard risks. Organize and conduct or supervise site visits when they are required.</li><li>• Organize the inception process and ensuring a participatory approach during the inception phase, with regard to discussing the project's baseline and results framework.</li><li>• Ensure that the results of the inception phase are incorporated into the project proposal. This could lead to a project revision or reformulation.</li></ul>

STAGE	PROJECT MANAGER / PROJECT DEVELOPER / TASK MANAGER (FOR GEF AND GCF PROJECTS)
<b>Concept Approval Group (CAG)</b>	<ul style="list-style-type: none"> <li>• In consultation with the supervisor and through the Head of Branch, submit the proposal to the Division Director/Responsible Director for submission to the PRC Secretariat ahead of the Concept Approval Group.</li> <li>• Take on board the recommendations from the CAG to improve or further develop project concepts.</li> </ul>
<b>Project Review Committee (PRC)</b>	<ul style="list-style-type: none"> <li>• Participate in the Project Review Committee (PRC) meeting, to present an overview of the intervention and provide details and clarifications if needed.</li> <li>• Follow up on PRC process and ensure the proposal complies with PRC recommendations in the shortest time possible until its approval.</li> <li>• Upload information into IPMR.</li> </ul>
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• Negotiate legal agreements and contracts with implementing partners.</li> <li>• Make clear the roles and responsibilities of project team members and external partners.</li> <li>• Organize an inception meeting or workshop.</li> <li>• Prepare, at least on an annual basis, a human resource plan to take stock of what human resources will be required during the year and initiate the necessary steps for meeting the needs in a timely manner.</li> <li>• Review, at least on an annual basis, procurement plans prepared of the goods and services that will be required and initiate the necessary steps for meeting the needs in a timely manner.</li> <li>• Oversee and manages project implementation. Accountable for the day-to-day management of the project within its defined schedule and budget.</li> <li>• Ensure focus on delivering towards the outputs and outcomes and objectives of the agreed results framework.</li> <li>• Liaise with the responsible supervisor, the project steering committee, the technical committee where necessary and manage the deliverables from project team members and partners to achieve the intended project outcome(s).</li> <li>• Consult and communicate with team members, stakeholders and supervisor on project implementation and continuously assesses risks and problematic issues arising during implementation.</li> </ul>

**Implementation,  
Monitoring, Reporting  
and Evaluation**

- Lead, coordinate, guide and monitor the work of the team members and implementing partners.
- Identify and deal with implementing challenges - both administrative and technical/substantive, including political judgment – which may arise during project implementation.
- Discuss and prepare project and budget revisions, when necessary but at least annually.
- Ensure that key stakeholders are engaged and are managing the intervention in a sustainable way.
- Monitors project performance and maintain a comprehensive monitoring system that tracks the delivery of activities as per the project work-plan.
- Prepare/finalize progress reports in a timely manner, with inputs from relevant partners. Report with supporting evidence on a six-monthly basis in the relevant reporting platform (IPMR in UMOJA) on progress toward project outcomes using agreed indicators.
- Document risks and lessons learned and take the lead in defining, updating, and implementing risk mitigation measures and in discussing these with their supervisor.
- Ensure that recommendations from reviews and assessments are implemented.
- Allocate appropriate resources to cover the evaluation needs of the project, bearing in mind whether the intervention requires a Mid-Term Evaluation/Review as well as a Terminal Evaluation.
- Verify, in consultation with the Fund Management Officer, that the correct budget codes for the evaluation have been identified and that the agreed funds are available for the evaluation. If necessary, secure additional funding for the evaluation.
- Ensure that the resources for evaluation are increased when/if the project is increased in scope or scale.
- Provide technical inputs and comments on the draft evaluation Terms of Reference.
- Assist the Evaluation Office in identifying the recipients list for the final Evaluation Report.
- Act as the primary contact between the project team and the Evaluation Office, facilitating the flow of project information and responding to requests from the evaluation consultant(s) for further information, clarification of details, etc.



STAGE	PROJECT MANAGER / PROJECT DEVELOPER / TASK MANAGER (FOR GEF AND GCF PROJECTS)
<p><b>Implementation, Monitoring, Reporting and Evaluation</b></p>	<ul style="list-style-type: none"> <li>• Inform all other members of the project team and relevant stakeholders of the upcoming evaluation</li> <li>• Assemble all relevant documents for the evaluation consultant(s) to review, e.g., progress reports, technical outputs, minutes of steering committee meetings, monitoring data and financial reports.</li> <li>• Provide evaluation consultant(s) with contact details for key project staff and stakeholders.</li> <li>• Coordinate with the Evaluation Office and the implementing partner(s) to make logistical arrangements for any evaluation field visits, e.g., local transportation, access to field sites, and/or set up meetings with key project stakeholders.</li> <li>• Facilitate the preparation of letters of invitation that may be required for the evaluation consultant(s) to obtain a visa or required travel authorization, where required.</li> <li>• Provide comments on the draft Evaluation Reports focusing on factual errors/omissions or conclusions.</li> <li>• Complete the Recommendations Implementation Plan; oversee the adoption of recommendations and ensure that the implementation of recommendations is properly documented and reported through the provision of regular recommendation implementation updates.</li> <li>• Advise the Evaluation Office of any external evaluations or reviews being led by donors or external parties; in this case, the Project Manager shall provide a copy of the Terms of Reference for Evaluation Office review and forward a copy of the final external evaluation report to the Evaluation Office.</li> </ul>
<p><b>Project Closure</b></p>	<ul style="list-style-type: none"> <li>• Under the overall coordination of the head of the Branch/Unit of the Division, responsible for the operational completion of a project within the planned timeframe.</li> <li>• In collaboration with implementing partners, verify that all activities have been completed.</li> <li>• In collaboration with the Project Steering Committee, hold a final validation meeting and preparing the Final Report on the project's results.</li> <li>• Steer the process of completion and preparation of the Operational Completion report, which includes observations by the Project Steering Committee and documentation by implementing partners.</li> <li>• Liaise with implementing partners to obtain their reports and the financial documentation required.</li> </ul>

STAGE	PROJECT MANAGER / PROJECT DEVELOPER / TASK MANAGER (FOR GEF AND GCF PROJECTS)
<p><b>Project Closure</b></p>	<ul style="list-style-type: none"> <li>• Ensure that the final evaluation or assessment report is completed and confirmed (in writing) by the Evaluation Office.</li> <li>• Collect and present evidence on the project's contribution to the PoW and SDGs.</li> <li>• The Finance and Budget team is responsible for the final authorization of project closure. In particular, the Finance and Budget Team supervises the implementation of all procedures concerning financial project closure, liaising with the United Nations Office in Nairobi.</li> </ul>
STAGE	PROJECT TEAM MEMBERS
<p><b>Implementation, Monitoring, Reporting and Evaluation</b></p>	<p>The project implementation structure also includes project team members who are assigned to deliver project outputs. Project team members may be in different Divisions or Regional Offices and might include implementing partners such as non-governmental organizations, government entities and the private sector. Team members:</p> <ul style="list-style-type: none"> <li>• Plan, monitor and manage specific outputs and activities.</li> <li>• Take responsibility for work progress and use of resources.</li> <li>• Identify and advise the Project Manager of any issues and risks associated with their responsible work area and propose project revisions if needed.</li> <li>• Initiate corrective action or revision within the boundaries laid out in the Project Document or defined by the Steering Committee in consultation with the Project Manager.</li> <li>• Prepare a workplan, report on progress and field mission findings.</li> <li>• Carry out oversight of partners' performance; and</li> <li>• Consolidate inputs for progress reporting.</li> </ul>

Note: Sometimes the Supervisor roles are taken up by the Head of Branch and or Head of Unit of the organization, in which case these roles are in addition to those described under head of Branch/ Unit.

### Review and Approval

- Review the project concept and/or the full ProDoc before these are submitted to CAG/PRC and after for resubmission and final clearance of ToC and Logframe.

### Implementation, Monitoring, Reporting and Evaluation

- Keep track of project implementation and delivery of results.
- Ensure that the risk management process is tracked and regularly re-assessed, and updated risk management responses are reviewed and discussed.
- Approve the periodic reporting of the Project Manager on IPMR.
- Clear the annual reporting and approve any other report documents.
- Reviews and clear the project budget.
- Ensure that recommendations from the project Steering Committee Meeting are taken up.
- Clear any revision of the project document.
- Support the Project Manager in delivering through adaptative management.
- Monitor and evaluate the Project Manager's performance and collaborate with the Fund Management Officer in necessary tasks.
- Assess the Project Manager's performance in project management against project outcomes, duration, budget, and output quality.
- Assess the performance of the responsible Fund Management Officer from financial and administrative perspectives and share feedback with her/his first reporting officer.

STAGE	SUPERVISOR OF THE PROJECT MANAGER
<b>Project Closure</b>	<ul style="list-style-type: none"> <li>• Ensure all closure steps of a project are supervised including signing off on the operational completion report and the recommendation for closure.</li> <li>• Hold a final project meeting with the Project Manager to address knowledge management and the uptake of evaluation recommendations.</li> <li>• Ensure that the Project Manager's tasks are linked to his/her e-Pas.</li> <li>• Promote learning through appropriate channels such as briefing sheets, a debriefing of the project team, inputs to communities of practice, etc.</li> </ul>
STAGE	DEPUTY EXECUTIVE DIRECTOR
<b>Review and Approval</b>	<ul style="list-style-type: none"> <li>• Chairs the PRC for Tier 1 projects.</li> <li>• Authorizes all PRC Decisions.</li> </ul>
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• Signs off on UNEP's Annual Programme Performance Report.</li> </ul>
STAGE	LEAD DIRECTORS/ DRI FOR EACH OF THE SUB-PROGRAMMES
<p>Lead Directors are responsible for providing the Deputy Executive Director (DED) with the correct information and recommendations to enable the DED (with overall accountability for results) to ensure programmatic coordination and results-based across the subprogrammes.</p>	
<b>Strategic Planning</b>	<ul style="list-style-type: none"> <li>• Participate in SMT discussions related to the delivery of the MTS and PoW to ensure that Strategic Objectives are fully considered in 'upstream' planning.</li> </ul>
<b>Review and Approval</b>	<ul style="list-style-type: none"> <li>• Participate in relevant meetings of the Concept Advisory Group (CAG) and the Project Review Committee (PRC) to ensure that political, financial and implementation risks are properly anticipated and managed.</li> </ul>

STAGE	LEAD DIRECTORS/ DRI FOR EACH OF THE SUB-PROGRAMMES
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• Be accountable for the delivery of the programme elements they are responsible for and that fall within their (Division's) workplan</li> <li>• Be accountable for the coherent and effective delivery of results through the thematic pooled funds.</li> <li>• Monitor the implementation of other elements of the delivery of the Strategic Objective that fall outside their respective Division's workplan and provide advice to the DED on necessary steps for the delivery of the overall strategic objective.</li> </ul>
STAGE	POLICY AND PROGRAMME DIVISION (PPD) DIRECTOR
<p>The Policy and Programme Division (PPD) is the process owner for many activities related to programmatic coordination, including strategic planning, programmatic coordination, and, monitoring and reporting. The PPD director, accordingly, plays a key role in ensuring that these functions maximize the effectiveness of both thematic and geographical coordination.</p>	
<b>Strategic Planning</b>	<ul style="list-style-type: none"> <li>• Manage the overall strategic planning process for the MTS and PoW, ensuring that colleagues at all levels across UNEP have had appropriate input and that SMT signs off on strategic plans.</li> </ul>
<b>Concept Development and Project Design</b>	<ul style="list-style-type: none"> <li>• Support improved project design and implementation capacity across the organization</li> <li>• Ensure the implementation of results-based management practices at all scales across the organization</li> <li>• Manage key coordination staff, such as the Subprogramme Coordinators, to ensure that they are maximizing their role to ensure programmatic coordination.</li> </ul>
<b>Review and Approval</b>	<ul style="list-style-type: none"> <li>• Be accountable for the effective functioning of the CAG and PRC to ensure that programmatic concepts provide a coherent approach to the delivery of key results areas.</li> </ul>

STAGE	POLICY AND PROGRAMME DIVISION (PPD) DIRECTOR
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• Support improved project design and implementation capacity across the organization.</li> <li>• Ensure the implementation of results-based management practices at all scales across the organization.</li> <li>• Manage key coordination staff, such as the Subprogramme Coordinators, to ensure that they are maximizing their role and programmatic coordination.</li> </ul>
STAGE	DIVISION DIRECTOR
<p>Division Directors are directly accountable for the delivery of project results that fall within their own Division's area of expertise and mandate. Under the delegated authority from the DED, the Director of Corporate Services Division (CSD) remains the directly responsible individual (DRI) for the PoW Budget but works closely with the strategic objectives lead directors, PPD Director and Subprogramme Coordinators on Results-based Budgeting. Collectively, the Division Directors, as part of the SMT also play an important role in the strategic guidance and delivery of the PoW/MTS.</p>	
<b>Strategic Planning</b>	<ul style="list-style-type: none"> <li>• Participate in SMT discussions related to the delivery of the MTS and PoW to ensure that Strategic Objectives are fully considered in 'upstream' planning.</li> <li>• Clear the allocation of the necessary financial and human resources for the delivery of results related to the Strategic Objective, including from the thematic pooled funds, on the basis of the recommendations from other Division Directors, Regional Directors and Subprogramme Coordinators.</li> </ul>
<b>Concept Development and Project Design</b>	<ul style="list-style-type: none"> <li>• Submits the concept to the CAG through the PRC Secretariat (PCAU).</li> <li>• Ensure that the team developing the project design has clear understanding of their roles and responsibilities.</li> <li>• Authority is delegated to the Head of Branch, Fund Management Officer, and Supervisor(s) of the project Manager to exercise relevant oversight and supervisory functions over the project design process.</li> </ul>

STAGE	DIVISION DIRECTOR
<b>Review and Approval</b>	<ul style="list-style-type: none"> <li>• Participate in relevant meetings of the Concept Advisory Group (CAG) and the Project Review Committee (PRC) ensuring that political, financial and implementation risks are properly anticipated and managed.</li> <li>• In addition, the Director approves the final risk assessment, with the impact assessment and management plan if applicable, according to the Environmental and Social Sustainability Framework.</li> </ul>
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• Ensure the implementation of Results-Based Management (RBM) practices across their division</li> <li>• Be accountable for monitoring and reporting on project implementation in IPMR with relevant inputs from the Regional Offices for the components delegated and suballocated to them.</li> <li>• Be accountable for the delivery of the programme elements they are responsible for and that fall within their (Division's) workplan.</li> <li>• Assesses the project's contribution towards delivery and achievement of Outputs and Outcomes in the MTS and PoW.</li> <li>• Be responsible for signing legal agreements, within the thresholds of the UNEP accountability framework.</li> <li>• A Division Director can delegate part of his/her authorities with clearly established 'tolerance levels and accountability. Effective delegation empowers adaptive management and avoids 'micro-management', while still retaining accountability</li> </ul>
<b>Project Closure</b>	<ul style="list-style-type: none"> <li>• The relevant Division Director is responsible for promoting knowledge management, promoting internal discussions on project results, aggregating lessons learned and implementing evaluation recommendations.</li> </ul>
STAGE	REGIONAL DIRECTOR

Regional Directors are accountable for representing UNEP in the regions, engaging with Resident Coordinators and UN Country Teams, relaying member state priorities for programmatic action, advocating for an appropriate mix of UNEP interventions in each country, and implementing regional/national elements of projects led by Divisions. Issue-based coalitions, regional and national policy and political influence and advocacy, regional forums on the environment, are led by Regional Directors. Collectively, the Regional Directors, as part of the SMT, play a key role to ensure that programme implementation is meeting regional and country needs.

STAGE	REGIONAL DIRECTOR
<b>Regional Representation</b>	<ul style="list-style-type: none"> <li>• Represent UNEP in the regions, establishing regional partnerships and leading UNEP engagement with key regional partners</li> <li>• Lead the engagement with regional collaborative, inter-governmental and inter-agency platforms</li> <li>• Lead the engagement with the UN Resident Coordinators (RCs) and UN Country Teams (UNCTs) and national governments to identify regional and national priorities. These priorities will guide the co-design of UNEP regional and national project development.</li> <li>• Lead UNEP engagement in the UN regional Issue-based Coalitions (IBC), through which they mobilize the UN Development System around a set of regional issues.</li> </ul>
<b>Strategic Planning</b>	<ul style="list-style-type: none"> <li>• Participate in strategic planning process for the MTS and PoW, to ensure that strategic plans meet national needs and are coherent from a regional point of view.</li> </ul>
<b>Concept Development and Project Design</b>	<ul style="list-style-type: none"> <li>• Work with Divisions to ensure that country and regional needs are met.</li> </ul>
<b>Concept Approval Group (CAG)/Project Review Committee (PRC)</b>	<ul style="list-style-type: none"> <li>• Participate in the CAG and PRC</li> </ul>
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• Be accountable for the delivery of programme elements they are responsible for and that fall within their own workplan.</li> </ul>
STAGE	HEAD OF BRANCH/UNIT
<b>Concept Development and Project Design</b>	<ul style="list-style-type: none"> <li>• The relevant Head of Branch/Unit has the overall responsibility for a project's design and should advise the Project Manager on coordination with other relevant UNEP projects. In particular, the Head of the Branch/Unit assures that:</li> <li>• Consultations are conducted internally and externally, and key stakeholders and implementing partners have been identified and consulted.</li> </ul>



STAGE	HEAD OF BRANCH/UNIT
<b>Concept Development and Project Design</b>	<ul style="list-style-type: none"> <li>• The relevant Head of Branch/Unit has the overall responsibility for a project's design and should advise the Project Manager on coordination with other relevant UNEP projects. In particular, the Head of the Branch/Unit assures that:</li> <li>• Consultations are conducted internally and externally, and key stakeholders and implementing partners have been identified and consulted.</li> <li>• Sufficient activities to mobilize resources to support the project have been conducted, including relevant consultations with donors and potential contributing partners.</li> <li>• The project's environmental and social impact and sustainability have been reviewed considering the Environmental and Social Sustainability Framework (ESSF) and potential risks have been sufficiently addressed.</li> <li>• The Project Document and, if necessary, the Project Concept and Project Proposal Preparation templates, have been duly completed according to UNEP quality standards and internal regulations</li> </ul>
<b>Concept Approval Group (CAG)/Project Review Committee (PRC)</b>	<ul style="list-style-type: none"> <li>• Responsible for assessing the overall quality of the proposed project intervention before submission to the CAG and PRC.</li> </ul>
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• Provide oversight on project management and implementation support.</li> <li>• Guide the Project Manager on project feasibility and providing timely and adequate feedback to ensure effectiveness and efficiency in project delivery.</li> <li>• Identify and deal with implementation problems on both administrative and technical/substantive issues; resolving conflicts and approving changes beyond tolerance level; setting tolerance levels for the Project Manager on budget, time and output quality and the activities</li> <li>• Oversee progress through field missions or occasional communications with stakeholders.</li> <li>• Ensure that the Project Manager's annual workplan and performance assessment is aligned with the project workplan and planned results.</li> <li>• Implement necessary resource mobilization activities and monitor expenditures.</li> <li>• Raise any issues to the Steering Committee where necessary.</li> </ul>

STAGE	HEAD OF BRANCH/UNIT
<b>Project Closure</b>	<ul style="list-style-type: none"> <li>• Supervise the implementation of evaluation recommendations according to an agreed action plan.</li> <li>• Provide support to the terminal evaluation or assessment process, in collaboration with the Project Manager</li> <li>• Complete the evaluation recommendations' implementation plan, specifying who oversees implementing the recommendations, the time-frame and implementation modalities.</li> </ul>
STAGE	GLOBAL SUB-PROGRAMME COORDINATOR
<b>Strategic Planning</b>	<ul style="list-style-type: none"> <li>• Leads strategic planning processes that result in the Medium-Term Strategy, Programmes of Work and Programme Frameworks, and ensure they shape the development of interventions and programmatic interventions at all scales.</li> <li>• Informs senior management and project teams on key emerging issues and strategic partnerships in the relevant subprogramme.</li> </ul>
<b>Concept Development and Project Design</b>	<ul style="list-style-type: none"> <li>• In consultation with the Project Developer/Project Manager and the relevant Head of Branch/Unit, the Global subprogramme Coordinator ensures that the overall project strategy is in line with UNEP's Medium-Term Strategy and Programme of Work. The subprogramme Coordinator also:</li> <li>• Coordinates the coherence of the subprogramme internally (i.e., across the interventions within the subprogramme), across Divisions and Regional Offices, and across the subprogrammes.</li> <li>• Recommends ways that available resources (both financial and human) can be allocated for the best impact, that an appropriate extra-budgetary strategy is implemented, and that resourcing gaps are identified and addressed.</li> <li>• Once the programme frameworks are approved and the list of projects comprising the biennial portfolio is agreed upon, Sub-programme Coordinators in collaboration with the corresponding Heads of Branches set up a calendar with a tentative plan/timeline for the design of projects. This timeline includes both the concept and the full project formulation periods with tentative submission dates to the CAG and PRC. If additional project concepts are added to the programme frameworks, the calendar is updated accordingly</li> </ul>

STAGE	GLOBAL SUB-PROGRAMME COORDINATOR
<b>Review and Approval</b>	<ul style="list-style-type: none"> <li>• Review the proposed project from a strategic point of view.</li> <li>• Provide advice on the project's contribution to the delivery of the MTS and PoW and on linkages to other interventions by UNEP and partners to promote synergies, avoid duplications</li> <li>• Participate in Project Review Committee meetings.</li> </ul>
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• Foster the development of a culture of results-based management across UNEP</li> <li>• Advise the Concept Approval Group and Project Review Committee, where relevant to the subprogramme, to ensure high-quality project design and the overall coherence of interventions.</li> <li>• Be accountable for the synthesis and reporting of regular corporate results related to their subprogramme,</li> <li>• Ensure coherence and coordination in monitoring and reporting of projects within the portfolio in a thematic programme and highlight relevant issues to the responsible supervisor and the Division/Regional Office Director.</li> <li>• Assess whether the portfolio is at risk in terms of delivering the results the organization has planned to achieve in the Medium-Term Strategy (MTS) and Programme of Work (PoW), to which a given project is a part.</li> <li>• Provide a report to Member States to show whether the portfolio is delivering on results at the portfolio level, to which a given project is a part.</li> <li>• Track gaps in resources at the project portfolio level to support Project Managers in filling gaps in resources in a coordinated manner.</li> </ul>
STAGE	REGIONAL SUB-PROGRAMME COORDINATOR (RSPC) RSPCs play a similar role, at a regional level, to the global SPC role
<b>Strategic Planning</b>	<ul style="list-style-type: none"> <li>• Support strategic planning processes that result in the Medium-Term Strategy, Programmes of Work, Programme Frameworks, and Programmes.</li> <li>• Provide thought leadership to the Regional Office, relevant technical divisions, global SPCs over key emerging regional issues in the relevant subprogramme;</li> </ul>

STAGE	REGIONAL SUB-PROGRAMME COORDINATOR (RSPC) RSPCs play a similar role, at a regional level, to the global SPC role
<b>Concept Development and Project Design</b>	<ul style="list-style-type: none"> <li>• Recommend, in coordination with global SPCs, on resource allocation (both financial and human) for best impacts at the regional level and make recommendations how resourcing gaps are identified and addressed.</li> <li>• Coordinate the regional coherence of the subprogramme internally, with Divisions, with other Regional Offices as needed, and across the sub-programmes</li> <li>• Serve on the Concept Approval Group (CAG) and Project Review Committee (PRC), where relevant to the regional components of the subprogramme, to ensure the overall coherence of interventions.</li> </ul>
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• Monitor the subprogramme results at the regional level, identify priorities for action, challenges to be addressed, and propose corrective actions where required. The implementation and evaluation of project activities within a subprogramme continue to be managed by project teams.</li> <li>• Lead in actualizing UN reforms by ensuring alignment of all projects implemented in the region to substantively complement the UNCT on the environmental dimension of the SDGs to enhance delivery as one UN in countries.</li> </ul>
STAGE	FUND MANAGEMENT OFFICER
<b>Concept Development and Project Design</b>	<ul style="list-style-type: none"> <li>• The Fund Management Officer is to be consulted during the development of the Project Document, to understand programmatic details and institutional set-up of the project, thus enabling him/her to assist the project team in the best possible way.</li> <li>• Provide a critical review of a project budget for accuracy, correctness (concerning the Project Support Costs rates), and use of standard payroll costs.</li> <li>• Upon information provided by the Project Developer on donor pledge or agreement, liaise with the Donors Partnership Contribution Section to track income and have it posted to the correct grant in Umoja.</li> <li>• Advise on the resource mobilization strategy, particularly regarding the possibility of securing funding from softly earmarked funding sources.</li> <li>• In consultation with Project Manager, the Fund Management Officer creates the project budget in BPC and financial elements of the project in Umoja and ensures that the WBSE is linked to the correct funding source.</li> <li>• Ensure that the budget is released to the correct Funded Programme or WBSE to ensure smooth processing of transactions.</li> <li>• Clear the Project Document for further review by signing the project budget and, if relevant, the budget for the project preparation phase.</li> </ul>

STAGE	FUND MANAGEMENT OFFICER
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• Provide technical support in financial and administrative management.</li> <li>• Monitor and certify expenditures ensuring expenditures belong to the project and do not exceed the approved budget.</li> <li>• Advise the Project Manager on administrative issues when engaging with implementing partners, organizing meetings, recruiting consultants, and procuring supplies/commodities for the project.</li> <li>• Alert the Project Manager of financial risks anticipated and provide solutions to overcome them.</li> <li>• Initiate annual budget revisions to reconcile income and expenditures and introduce any changes that may have taken place during the year as regards funding or impact on budget due to change in scope of the project</li> <li>• Ensure expenditure reports received from implementing partners have been reviewed and accepted by Project Manager in line with project progress and deliverables so far.</li> <li>• Flag any anomalies or concerns while reviewing reports and works with the Project Manager and partners to iron them out.</li> <li>• Ensure expenditures are correctly recorded in Umoja and facilitates cash transfers if reports are satisfactory.</li> <li>• Provide financial updates to the Project Manager as and when requested flagging donor restrictions especially pertaining to expiry of usage of funds.</li> <li>• Maintain a general overview of the technical progress regarding expenditure levels and available budget.</li> </ul>
<b>Project Closure</b>	<ul style="list-style-type: none"> <li>• Carry out the necessary procedures for the financial and administrative closure of the project.</li> <li>• Certify of expenditures. In case of expenditures made against the evaluation budget line, the Fund Management Officer must inform the Evaluation Office.</li> <li>• Reconcile financial accounts</li> <li>• Certify audit reports</li> <li>• Manage procedure concerning the transfer of assets and updates in Umoja</li> </ul>
<b>Project Closure</b>	<ul style="list-style-type: none"> <li>• Take necessary steps for recovery of unspent funds from the implementing partners and repayment to donors, unless otherwise specified.</li> <li>• The Finance and Budget team is responsible for the final authorization of project closure. In particular, the Finance and Budget Team supervises the implementation of all procedures concerning financial project closure, liaising with the United Nations Office in Nairobi.</li> </ul>

STAGE	PROGRAMME COHERENCE AND ASSURANCE UNIT (PCAU) – sometimes referred to as the Project Review Committee (PRC) Secretariat
<b>Review and Approval</b>	<p>The PCAU within the Policy and Programme Division serves as Project Review Committee Secretariat. The Secretariat has the primary responsibility for:</p> <ul style="list-style-type: none"> <li>• organizing the CAG meeting for each Concept and produces a Concept Review Report.</li> <li>• organizing PRCs accordingly with the relevant Chair based on risk assessment, including selection of UNEP technical reviewers.</li> <li>• Applies the quality of design matrix criteria to assess projects and communicates these to the PRC/CAG.</li> <li>• Ensure that the project intervention’s Theory of Change and Logical framework comply with UNEP’s minimum quality standards.</li> <li>• Compile the recommendations in the corresponding Concept Approval Group (CAG)/ Project Review Committee (PRC) reports and disclosing them to all parties involved.</li> <li>• Preparing statistics from the CAG, PRC and assessments of quality of project design.</li> </ul>
STAGE	CONCEPT APPROVAL GROUP (CAG)
<b>Review and Approval</b>	<ul style="list-style-type: none"> <li>• The purpose of the Concept Approval Group (CAG) is to provide senior-level review that ensures that concepts have sufficient strategic merit and alignment with the MTS and PoW.</li> <li>• The CAG consists of UNEP’s SMT members and is chaired by the Deputy Executive Director (DED). The CAG meets once per month. Extraordinary meetings are convened at the request of the CAG Chair. PCAU in PPD will serve as Secretariat to the CAG (referred to as the CAG-PRC Secretariat).</li> </ul>
STAGE	PROJECT REVIEW COMMITTEE
<b>Review and Approval</b>	<p>The Project Review Committee (PRC) is mandated to review and assess the quality of projects, with specific focus on the project’s logic and approach to achieving results.</p>

**Review and Approval**

The Project Review Committee (PRC) is mandated to review and assess the quality of projects, with specific focus on the project's logic and approach to achieving results.

The Project Review Committee provides recommendations and advice. In some cases, the Project Review Committee recommends that project personnel carry out an Environmental and Social Impact Assessment (ESIA) and prepare an Environmental and Social Management Plan (ESMP); which may delay the project approval. Thus, the Division or Region submitting the project is advised to consult the Safeguards Advisor/Unit in the Strategy and Policy Division as early as possible and well before triggering the Project Review Committee.

The Chair:

- prepares the Project Review Committee ratings on project quality.
- signs the Project Review Committee report prepared by the Secretary.
- prepares the Project Review Committee meeting report.
- after clearance of the project log frame, issues the 'assurance note' (i.e. the PRC Report) to be filed in IPMR and sent to the approving authority to indicate whether the project proposal has taken up the recommendations issued by Project Review Committee; and
- is responsible for obtaining and filing statistics on Project Review Committee processes and project quality.

Other PRC members are:

- PRC Secretary – (tasks are discussed in the section on Project Review Secretariat)
- Technical experts (UNEP staff, or staff from project partner organisations and Multilateral Environment Agreements) – The technical experts should not have a conflict of interest in the projects under review. The technical reviewers shall review the Project Document, guided by the quality of project design matrix and checklist, and send the review to the Project Review Committee Secretariat in advance of the meeting.
- Finance and Budget officer – They are usually from Corporate Services Division. As a reviewer, they ensure the accuracy of the budget. More detailed information is available under [tasks of Finance and Budget Unit of Corporate Services Division](#).
- Gender and Safeguard advisor – They review whether the project design adequately analyses and reflects gender and Environmental and Social Safeguard (ESS) aspects.

STAGE	PROJECT REVIEW COMMITTEE
<p><b>Review and Approval</b></p>	<ul style="list-style-type: none"> <li>• Regional Office (or staff member from relevant Regional Presence Office in case of multi-regional or global projects) – They review the project’s delivery arrangements, coordination with other planned or ongoing interventions in the region, and the adequacy of selected partners.</li> <li>• Head of Branch/Unit in Division or Regional Office, project manager or other relevant staff members will also attend Project Review Committee meetings, to present an overview of the intervention and provide details and clarifications if needed.</li> <li>• The Sub-programme Coordinator has the role of confirming the relevance of the project to the UNEP MTS PoW and checking on synergies within the programme.</li> <li>• Staff members invited to attend Project Review Committee meetings in their individual technical capacity cannot extend the invitation to others. If they cannot attend the meeting physically, arrangements for virtual attendance can be made.</li> </ul>
STAGE	FINANCE AND BUDGET UNIT - CSD
<p><b>Review and Approval</b></p>	<p>The Finance and Budget Unit is responsible for reviewing the project budget and resource mobilization arrangements to ensure the use of the correct budget template and to check for accuracy and consistency of figures across the whole document. Responsibilities:</p> <ul style="list-style-type: none"> <li>• Ensure that correct Project Support Costs rates are applied for secured funding.</li> <li>• Confirm correctness of staff cost calculations against Project Team’s time allocation to the project.</li> <li>• Confirm the Division’s prior records regarding resource mobilization and implementation.</li> <li>• Provide guidance on the number of years planned for implementation regarding the funding base and historical data on similar projects or projects implemented by the Division or Regional Office.</li> <li>• In case of unsecured funds, assess the viability of the resource mobilization strategy and ensure that any lack of resources is also reflected in the risk log with a mitigation plan.</li> <li>• Confirm that the budget is based on activities that can be identified in the workplan.</li> </ul>



STAGE	PROJECT STEERING COMMITTEE
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<p>A project Steering Committee provides overall guidance and strategic direction to the project so that the project rationale and alignment to UNEP's Programme of Work remains valid. Their responsibilities include:</p> <ul style="list-style-type: none"> <li>• Approving the project work plan and budget and reviews progress.</li> <li>• Providing advice to the Project Manager to ensure the project achieves desired results.</li> <li>• Providing guidance to the Project Manager with relation to stakeholder management.</li> <li>• Providing guidance to the Project Manager on needed changes or revisions.</li> <li>• Authorizing any substantive changes to the project design</li> </ul>
STAGE	TECHNICAL ADVISORY COMMITTEE
<b>Implementation, Monitoring, Reporting and Evaluation</b>	<ul style="list-style-type: none"> <li>• For technical projects, it is a good practice to have a Technical Advisory Committee to ensure that the Steering Committee has sufficient scientific and technical capacity. Such committees are particularly useful for innovative projects and projects focusing on science-policy synergies or method or tool development.</li> <li>• The Technical Advisory Committee provides technical advice to the Project Manager in the implementation of specific activities and delivery of outputs.</li> </ul>