**Pre-Investment Screening Committee (PISC): Lead Unit submission template**

**Countries:**

**Targeted source of funds (if identified):** *[ e.g. GEF TF, LDCF, GCF, etc.]*

**PIMS ID:**

**Project name:**

**Project grant**:

**Proposed Implementing Partner**:

**UNDP representative to present proposal:**

**Date of submission to PISC:**

**Project description:**

|  |  |
| --- | --- |
| **PISC Criteria** | **Comments** |
| ***1. Strategic considerations*** |  |
| Strategic Global/Regional context (in terms of alignment with Conventions, Strategic Focus of Donor or UNDP). Please indicate who exactly is originating proposed project – donor, UNDP or Convention, other (if so, who?). |  |
| Importance for global/regional programming[[1]](#footnote-3) |  |
| Transboundary/multi-country collaboration potential |  |
| Type of and scale of innovation |  |
| Scale of impact (number of beneficiaries, area of impact; scalability and replication potential) and rationale for the regional/global approach |  |
| Green recovery potential (including contributions to NDC implementation) and/or potential to support MEA implementation or achievement of SDGs |  |
| Job creation potential (number of beneficiaries) |  |
| Potential for engaging private sector and in what way |  |
| Real Co-financing potential (that is traceable, UNDP can maintain legal obligations with co-financier and can be reported on) |  |
| Gender and safeguards ‘check’ |  |
| Financial sustainability (what happens after grant is used up) |  |
| Exit strategy (ensuring the sustainability of impacts)[[2]](#footnote-5) |  |
| Engagement[[3]](#footnote-7):   1. Have local communities and/or other stakeholders who might be affected by the project (especially those who might have limited influence over it) been engaged in the preparation of this project idea? 2. Have women’s groups/leaders been engaged in the preparation of this project idea? 3. Is there concrete evidence that local communities and/or other stakeholders who might be affected by the project (especially those who might have limited influence over it) will want this project? |  |
| Risk Context[[4]](#footnote-8):   1. What implementation challenges do you foresee? 2. What oversight challenges do you foresee? 3. Which factors do you anticipate that may increase the risks of delays or reduced delivery? 4. Does the project involve acquisition of land ownership or land rights and what hurdles (administrative, regulatory, etc.) do you see in obtaining this? 5. Does the project require permits and licenses to be obtained? If so, what hurdles do you foresee in obtaining these? 6. What specific measures will need to be considered to the project implementation arrangements to manage the implementation challenges listed above? 7. If there are security issues in the country, this is a risk for UNDP. How will these risks be mitigated for project and County Office personnel? 8. Is there a chance that project funds could end up with in-country groups/beneficiaries that donors might consider ‘terrorists’? What measures will be put in place to ensure due diligence and AML/CFT screening during design and implementation? 9. Are there any reputational risks to UNDP in implementing the project? 10. Could the project involve or support high risk sectors (such as mining, waste management, or aquaculture including from co-financing)? 11. Could the project be located in or near areas with ongoing or recent violent conflict (or similar)? 12. Does the government(s) have any known ongoing or upcoming work that could be seen as inconsistent with this project’s objective? 13. Does the country(ies) have any significant differences with international standards including UN conventions/principles/declarations related to:     1. Human rights     2. Labour standards (e.g. Child labour)     3. Indigenous peoples’ rights     4. Women’s rights     5. LGBTQ+ rights     6. Corruption/fraud/AMLCFT |  |
| ***2. Capacity and Risk management considerations*** |  |
| Proposed Implementation Modality, Project Governance Structure and set-up | DIM/Agency Execution/NGO Execution: |
| Implementation Arrangements:   1. Implementing Partner 2. Responsible Party(ies)   Confirm if PCAT/HACT has been done   1. Oversight/Quality Assurance  * First level: * Second Level: * Third level: | Yes/No. If yes, date of completion: \_\_\_\_\_\_\_\_\_\_\_\_\_ |
| IP Capacity[[5]](#footnote-9) (including capacity on gender and safeguards):   * HACT/PCAT assessment results[[6]](#footnote-10) * Prior experience with the proposed IP * If capacity gaps/shortfalls have been identified, what risk mitigation measures can/have been or will be put in place? * Has an alternative IP been considered (e.g. UN Agency, CSO/NGO, etc.) * Given the capacity assessments, what is the appropriate implementation modality proposed and why? * If execution support is required by the IP (based on identified capacity shortfalls identified), which 3rd party entities have been considered to provide the support and are there any other alternatives that may be considered * If UNDP is required to perform a role in execution (as a last resort and based on clearly identified justification): (i) how will UNDP ensure institutional separation of the oversight and execution functions and what are the proposed governance arrangements (ii) will costs for UNDP execution be fully covered in the project budget? |  |
| UNDP capacity for first level oversight (PPRR and any other UNDP offices engaged in the proposed project).[[7]](#footnote-11)  This should also address:   * Capacities of the Lead Unit in Regional Hub or HQ (PPRR) to take on this additional project? Resourcing requirements? * Proposed governance arrangements? * Gender and safeguards capacity. * Who will perform oversight and who will represent UNDP on the project board?[[8]](#footnote-12) * If UNDP also provides execution support or the project is DIM, how will the oversight function be institutionally separated from the execution function? * Capacity of the operations unit to perform effectively and to process fund requests quickly. |  |
| Which risks as relevant from those raised by the OAI GEF Audit 2020 |  |
| Risks as raised by last OAI Audit of relevant scope/focus (if any) |  |
| Has any of the Exclusionary Criteria been triggered? If yes, describe the situation (related to UNDP office that will be PPRR or lead unit in Regional Hubs or HQ). |  |
| ***3. Budget/costing and HR considerations (level of investment required throughout the whole project cycle)*** |  |
| UNDP and/or IP commitment of appropriate budget and HR resources to project development |  |
| Strategy for managing any executing support requests and/or needs (taking into account that costs related to an execution support role will need to be covered by the project budget) |  |

1. For global or regional projects, answer the following: How will this contribute to the realization of the overall UNDP Strategic Plan? What is the partnership potential? What countries are involved?   
     
   For Regional projects, answer the following: How will it help to position UNDP/RBx vis-à-vis regional organisations (e.g. UNECE or others)? Partnerships potential? Relate to Regional Program Document, if there is one. [↑](#footnote-ref-3)
2. If the PISC recommends a project for further consideration/design, this means that UNDP formally gives the green light to engage with counterparts and governments on this. However, if the project is subsequently not taken forward, what is the impact of an exit by UNDP on other programming, relations with counterparts, etc.? [↑](#footnote-ref-5)
3. Yes/No [↑](#footnote-ref-7)
4. Yes/No/Unknown

   If “Unknown” is the response, further clarification should be requested on how those risks will be identified and how the project will ensure risks related to TBD country-level interventions will be managed. [↑](#footnote-ref-8)
5. IP Capacity evaluation not required for DIM projects. [↑](#footnote-ref-9)
6. Previous HACT assessments may also be used for the PISC - (I.e. if needed, can include HACT/PCAT results, if available, from other interventions/projects). [↑](#footnote-ref-10)
7. If a Regional Hub is the PPRR, such as in RBAP, indicate specific units/teams within the Hub that will be involved in oversight. If it is a global project, HQ will be the lead unit, and it should be clarified which specific unit/team will be in charge of the project. [↑](#footnote-ref-11)
8. If lead UNDP office (PPRR) is a Regional Hub, indicate the roles/responsibilities of the COs, as applicable. [↑](#footnote-ref-12)