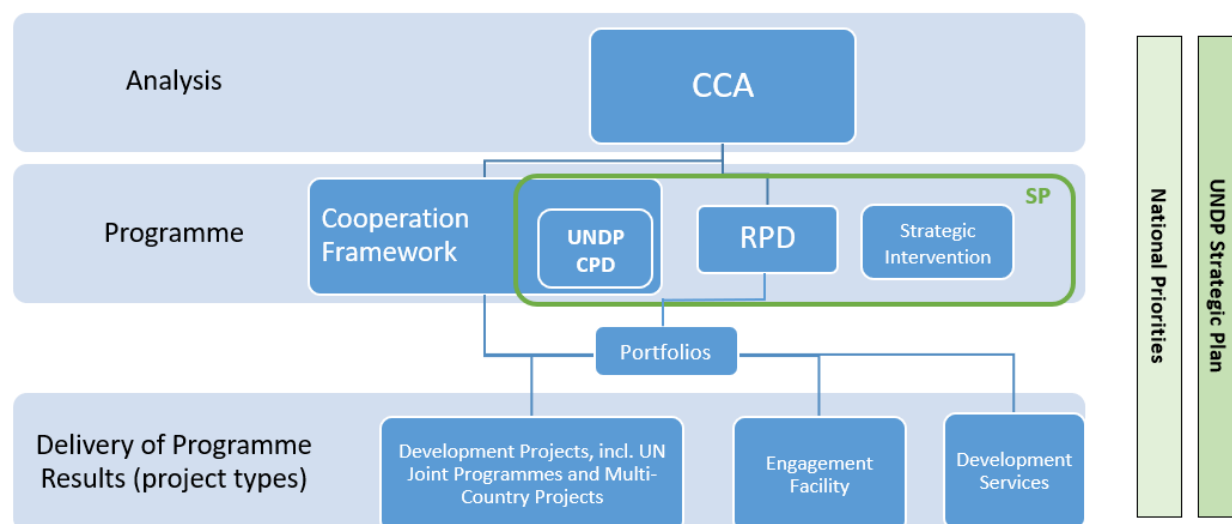


A1. Formulate Programmes and Projects

Programming Architecture



Principles

1. This policy outlines the requirements for formulating programmes and development projects. The requirements for the [engagement facility](#), [development services](#), and [multi-country/South-South projects](#) are outlined in distinct policies.
2. To effectively support national efforts to achieve the transformative ambitions of the 2030 Agenda for Sustainable Development and the SDGs, the UN system takes an integrated approach to programming that includes all relevant stakeholders. The core principle of leaving no one behind is underpinned by three other programming principles: human rights, gender equality and women's empowerment; sustainability and resilience; and accountability. These are the foundation for programming in all contexts. For further information, see the [Cooperation Framework Guidance](#).
3. UNDP programming comprises the planning, implementation, reporting and evaluation of development results achieved with partners through UNDP support. A UNDP **programme** is a plan for effectively contributing to outcome level development results through UNDP's project modalities: **development projects**, the **engagement facility** and **development services**.
4. UNDP programming at the country level is part of the overall UN system programming process. [UN Standard Operating Procedures for Delivering as One](#) should be implemented to the extent possible.
5. The UN country programming process is country led and aligned to national priorities and needs. National ownership requires inclusivity of national stakeholders in all stages of the process, so country programmes are formulated in close consultation with the government and other national stakeholders, including a meaningful cross-section of civil society and private sector actors. National ownership is further expressed through a government development coordination authority serving as executing agent for the programme. The projects under a programme are thus nationally owned regardless of implementation modality and entail the commitment of national human and financial resources along with external resources.

6. In special development situations, where there is no recognized government, or the government is not able to take ownership of the programme, an effort should be made to ensure national ownership by involving representatives of civil society as well as targeted vulnerable and marginalized groups at all stages of programming.
7. Partnerships with government and non-governmental partners—including stakeholder representatives, civil society and non-governmental organizations and the private sector—and policy advocacy also contribute to programme results. Key financing and funding partners, such as international donors, government cost-sharing partners and international financial institutions and multilateral development banks, are to be consulted early and regularly throughout programme and project formulation to ensure that priorities and approaches reflect partnership and funding commitments towards successfully delivering planned development results.
8. New and emerging development challenges, including crisis, are incorporated into ongoing programmes as soon as feasible (see [Managing Change](#)). Early consultations and considerations on security must be taken into account during the planning and formulation of the Cooperation Framework/Country Programme Document (CPD) and individual projects to enable effective and efficient delivery throughout the programme cycle. This includes the programme criticality framework, where applicable. This is consistent with the “no programme without security, no security without resources” strategy in the UN Security Management System’s Framework of Accountability.

Analysis

9. Sound analysis based on a clear theory of change, including references to international evidence, lessons learned and UNDP policies, is a prerequisite for effective development planning for both country and regional programmes. UNDP must make an effective contribution to UN common analysis. This includes the Common Country Assessment (CCA) and/or other relevant analysis undertaken by the UN system, such as humanitarian and political analysis. As part of the CCA process, there should be a mapping of the financial landscape, assessment of any funding gaps, development of a financing strategy and creation of a common vision for collective resource mobilization.
10. All programme managers/Resident Representatives are expected to refer to and be guided by the UNDP Strategic Plan prior to commencing analytical and programming work. Analysis should be guided by, and lead to, an examination of issues connected with the advancement of the SDGs and expected development outcomes in the Strategic Plan. It must provide evidence of UNDP’s comparative advantage to address relevant development challenges with partners.
11. UNDP is guided by UNSDG guidance on developing the CCA. The minimum UNDP quality standards for regional and country analysis are:
 - a. Inclusive and quality participation by relevant stakeholder groups, and identification by partners of priority development challenges within UNDP’s mandate, and their impact on women and men as well as targeted marginalized and vulnerable groups;
 - b. Use of credible and relevant data and other evidence, appropriately cited, to guide the analysis;
 - c. Coverage and depth of relevant issues that enable the programme to meet UNDP’s quality standards, including through gender analysis, and application of the SES;
 - d. Identification and analysis of risks that could affect achievement of development results, as well as capacities for risk management; and

- e. Measures to ensure the analysis is relevant for UNDP programming, and can guide the selection of development priorities by including evidence for causal analysis used in the programme's theory of change.
12. The Regional Bureau is the focal point for UNSDG's Quality Support and Assurance System and the regional peer support groups. It should be involved as early as possible in Cooperation Framework formulation to ensure quality support, notably when the terms of reference and timelines for the process are finalized.

Developing a Programme – Cooperation Framework/CPD or Regional Programme¹

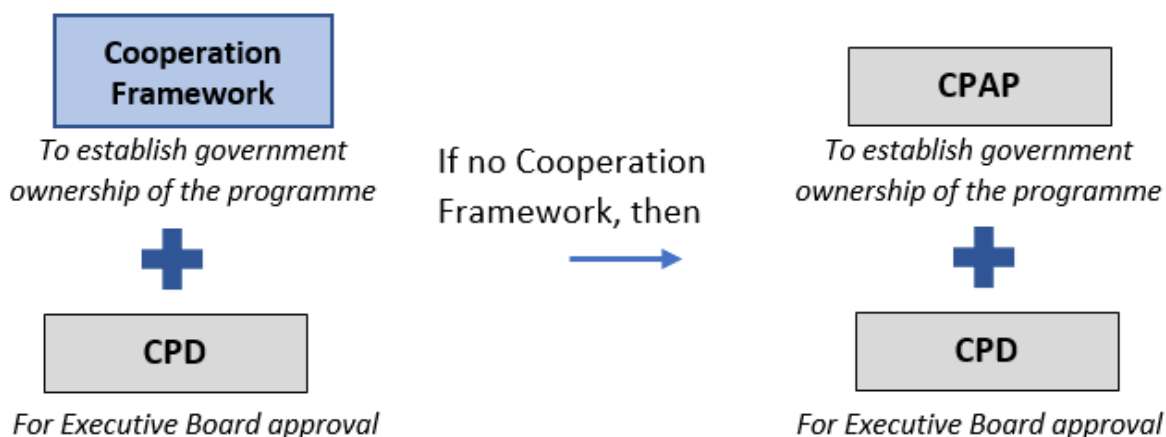
13. All country and regional programme documents must be consistent with Strategic Plan principles, directions and scope of work, and aligned with identified national or regional priorities. They must clearly articulate their contribution to the SDGs. Country programmes must be consistent with national development plans. All programme documents must meet established quality standards for programming (see [Quality Standards for Programming](#) and [Appraise and Approve](#)).
14. As the primary UN system-wide instrument for country programming, the Cooperation Framework establishes government ownership of the programme. UNDP must participate fully in the preparation of the Cooperation Framework and contribute to achieving its strategic results through its own country programme. The programme manager/Resident Representative has responsibility for formulating UNDP's inputs to the Cooperation Framework in close consultation with the government and other national partners.
15. All country programmes are nationally executed (NEX) when the national government signs the Cooperation Framework. (Note: This is not to be confused with the national implementation modality of projects, NIM.) If a Cooperation framework with the legal annex is not signed with the government, then a country programme action plan (CPAP) is prepared and signed with the government to establish national execution of the programme. If there is no recognized government or if the government does not have sufficient capacity to execute the programme, then approval must be sought from the Associate Administrator for the country programme to be directly executed by UNDP (i.e., a DEX country programme). Regional programmes are directly executed by UNDP by default.
16. The CPD outlines UNDP's contribution to national results through the Cooperation Framework. The CPD results and resources framework establishes the results that UNDP will contribute towards Cooperation Framework outcomes, and the resources required from UNDP and other financing partners for achieving those results. The CPD adopts up to four Cooperation Framework outcomes verbatim to which UNDP contributes, and details UNDP's programme priorities through indicative outputs.
17. All UNDP programmes must be based on a theory of change that defines the change pathway required to achieve the desired development results, drawing on evidence-based causal analysis. The foundation for a country programme theory of change is the Cooperation Framework theory of change. Underlying assumptions must be made explicit, along with how targeted groups are affected differently, including women and men, and relevant vulnerable or marginalized groups. Similarly, it must be clear how UNDP intends to partner with UN development system entities, including through

¹ Under the 2018-2021 Strategic Plan, there is no longer a global programme. Global projects directly contribute to the Strategic Plan.

the deployment of UN Volunteers and other partners to achieve results. Selected programme priorities must be based on consideration of UNDP's comparative advantages, including within the United Nations and vis-à-vis other development partners, as well as lessons learned from evaluation and analysis derived from other sources such as Human Development Reports.

18. All theories of change and underpinning assumptions must be designed as testable hypotheses, enabling regular checking of the accuracy and continued relevance of chosen pathways. This reflects an understanding that amid complexity and uncertainty in fast-changing environments, initial causal pathways might change rapidly within the implementation phase.
19. Each outcome and indicative output contained in the programme must have at least one results indicator that meets established quality standards to measure and track progress. Outcome indicators must be derived from, but not necessarily limited to, Cooperation Framework indicators, and adopt SDG target indicators when possible. Indicators from UNDP's IRRF should be adopted when relevant. At the country level, it is advisable to harmonize output indicators with the joint workplans of UN country team results groups. Each indicator must have a baseline and realistic target to measure and clearly communicate expected results agreed jointly with partners. Where applicable, annual milestones are set to track progress on the output and facilitate annual reporting. These can be revised through monitoring and programme board decisions (see [Manage Change](#).) Milestones are a valuable communications opportunity to ensure stakeholders, including donors, are aware of UNDP's progress and results.
20. Country and regional programme documents must be submitted to the UNDP Executive Board for approval. When circumstances prevent the preparation or approval of a country programme, the Executive Board may authorize the Administrator to approve development projects on a case by case basis.

Programme Instruments



**This diagram reflects the documents that together constitute a country programme. Regional programmes use only the regional programme document (RPD).*

Delivering on Programme Results

21. Depending on the context, desired results and nature of UNDP engagement, there are several options to deliver programme results. These include development projects, the engagement facility and development services. Institutional effectiveness projects (formerly called management projects) are used to manage inputs and activities that provide an enabling platform for UNDP to undertake programmatic activities and services to support development results. The use of each instrument is described below:

Standard Delivery Instruments

Instrument	Description
<u>Development project</u>	Delivers outputs where UNDP has accountability for design, oversight and quality assurance of the entire project. Initiation plans can help jump-start project design.
<u>Engagement facility</u>	Quickly delivers activities designed and overseen by UNDP to support upstream policy results, to test innovations with scaling-up potential and to respond immediately to crisis. The engagement facility should be used for small and simple interventions, as requirements are light.
<u>Development services</u>	Delivers outputs, activities and/or inputs towards a result for which a partner is accountable for strategy, design and project quality assurance. UNDP is only responsible for the quality of development services provided, not the entire initiative.
<u>Development effectiveness project</u>	Delivers outputs that UNDP designs and oversees to contribute to the quality, effectiveness and efficiency of results across multiple development projects. Such projects should be used for cross-cutting interventions that set standards, generate and share knowledge and learning, and develop and operationalize development policies.
<u>Institutional effectiveness project</u>	Manages inputs (staff, UN Volunteers, facilities, etc.) and activities that enable UNDP to contribute to development results.

Partner/Funding-Specific *Project* Instruments with Specialized Templates and Guidance:

Partner	Instrument
UN joint programme (project) and trust funds	Guidance Note on a New Generation of Joint Programmes , annex B; UNDP project funded by a multi-donor trust fund, including Delivering as One funds: UNSDG Guidance on Establishing, Managing and Closing MDTFs .
Environmental and Climate Vertical Fund Projects (including Global Environment Facility (GEF), Green Climate Fund (GCF), Adaptation Fund, etc.)	Initiation Plan template to prepare a project preparation grant (PPG) ; Project Document template for projects funded by the GEF ; Project Document template for projects funded by the GCF ; GEF Guidelines on the Project and Program Cycle Policy ; GEF-7 Templates for Project Identification Forms (PIFs) and CEO Endorsement/Approvals ; GCF Project Preparation Templates

European Union (EU) funded	UNDP project document template . Additional EU-specific requirements may apply. Please contact ecsupport@undp.org for specific advice.
Multi-country and South-South cooperation projects	For delivering projects in more than one country, with one implementing partner per country; multi-country and South-South project template

Partner-Specific *Development Services* Instruments

Partner	Instrument
Government	Standard Development Services agreement, available by request through the relevant Regional Hub/Bureau for Policy and Programme Support Directorate during the pilot period
Country-based pooled fund when UNDP is the managing agent	Operational Manual for the CBPF
UN agencies	UN agency to UN agency agreement with development services annex (forthcoming)
Private sector and civil society	Standard development service agreement, available by request through the relevant Regional Hub/Bureau for Policy and Programme Support Directorate during the pilot period

22. Development projects that are not under a programme-level framework are called stand-alone strategic interventions and are considered exceptional.² UNDP regular resources must not be used for these interventions because they do not contribute to a programme approved by the Executive Board. In addition to the project document, the relevant Cooperation Framework legal clauses must be signed by the programme country government as part of approving a stand-alone strategic intervention. Harmonized approach to cash transfers (HACT) procedures must be followed when advancing resources to national partners, including the macro-assessment. Stand-alone strategic interventions must be approved by the relevant Regional Bureau Director, and results must align with the Strategic Plan. The planning, monitoring, reporting and evaluation procedures for stand-alone strategic interventions are the same as for other development projects.

Designing a Development Project

23. A development project is a time-bound instrument to deliver outputs that contribute to outcome-level development change reflected in the programme, along with the results delivered by other projects and instruments.
24. Project results frameworks and UN Delivering as One joint results group workplans must be closely linked with the Cooperation Framework/CPD results framework. Project outputs are drawn directly from programme outputs to the extent possible, as projects deliver outputs to contribute to programme outcomes. Projects should adopt relevant programme output indicators to facilitate programme monitoring and clarify how the project contributes to outcome-level results.

² Global projects directly contribute to the Strategic Plan.

25. A project document that meets UNDP's quality standards must be developed for all projects and contain:

- a. A clear linkage to the programme's theory of change³ that articulates:
 - i. The causal chain related to the development challenge and its underlying assumptions;
 - ii. How it affects groups differently (including women and men, and with a focus on excluded and marginalized groups);
 - iii. How the project will test the accuracy of the proposed causal chain during implementation to enable course correction;
 - iv. Partnerships and stakeholder engagement required to achieve the intended results; and
 - v. How the project will contribute to higher-level change/expected contributions to the SDGs.

The CCA analysis, evaluations, lessons, innovations, and other knowledge and evidence must be used, as available, to help support the rationale for the project approach being the most likely to lead to the desired development change, considering UNDP's comparative advantage as a development partner. Project-specific assumptions and risks must be clearly detailed.

- b. Results that are SMART—specific, measurable, attainable, realistic and time-bound—and elaborated in a quality results framework and multi-year workplan.
- c. Clearly identified target groups and other potentially affected groups with strategies for how they will be engaged as active partners throughout the project cycle. Targeted groups' perceptions of development challenges and needed solutions must be incorporated into the project approach.
- d. UNDP and other funding partner resources required to achieve results, and how results will be sustained and/or scaled up, including through identifying resource partners.
- e. Identification of implementing partners and responsible parties to complete project outputs and activities. All required programmatic and financial (HACT) capacity assessments must be costed in the budget and completed. Annual costs related to HACT assurance also need to be budgeted and completed. See [Select Implementing Partner](#) and [Select Responsible Parties and Grantees](#).
- f. Management and governance arrangements that articulate project roles, responsibilities and accountabilities and that ensure appropriate functional separations and reporting lines between oversight roles and implementation/execution roles. Refer to the policies on [Implementing Partners](#), [Responsible Parties](#), and [Oversight](#).
- g. An initial risk analysis using the SESP and risk register.
- h. Initial monitoring plan as well as an evaluation plan if relevant.
- i. A list of knowledge products to be produced, if relevant.

26. UNDP projects should consider the use of UN Volunteers (national, international or online). This can include using UN Volunteers for South-South cooperation, as a mechanism to promote sustainability and transitional arrangements, as a means of engaging with local stakeholders and vulnerable or marginalized groups, and/or as a cost-effective capacity resource for project delivery, including monitoring, evaluation and reporting.

³ Global projects must demonstrate clear linkages to the Strategic Plan theory of change.

27. If a project will be jointly developed with other UN agencies (called a joint programme), the [UNSDG | Guidance Note on a New Generation of Joint Programmes](#) must be followed. If UNDP is selected as the administrative agent under a pass-through fund management option, the Multi-Partner Trust Fund Office must be contacted for further instruction (executivecoordinator.mptfo@undp.org). In situations where the office does not support the joint programme, such as when minimum thresholds are not met, the local direct pass-through arrangement is used.

Designing Portfolios of Projects

28. A portfolio may be created of two or more projects contributing to shared results (for example, projects contributing to the same outcome or SDG, or having the same targeted groups/geographic area). This is an optional approach intended to reduce the transaction costs of project designing, monitoring, implementing, overseeing and reporting, as many required functions are done for the portfolio instead of separately for each project. Portfolios are also intended to improve the integration of projects that contribute to shared results, as they are managed more closely together. Projects included in a portfolio may have different implementing partners and implementation modalities, such as a mix of projects implemented by UNDP (DIM) and national partners (NIM). For more integrated results management and efficient project management, the following requirements may apply to a portfolio of projects:
- a. Portfolio project document
 - b. Quality assurance
 - c. Appraisal (local project appraisal committee)
 - d. Monitoring
 - e. Risk management and risk register
 - f. Project governance (i.e., one project board)
 - g. Engagement with donors and other partners, including [resource mobilization](#). Resources can be mobilized for the portfolio, and allocated to any project in the portfolio, depending on need. Any reallocation across projects must be done through a formal budget revision.
 - h. Evaluation
29. The programme manager/Resident Representative decides which projects are included in a portfolio. Separate workplans must be developed and signed for each individual project/implementing partner. Separate workplans can be linked through a common results framework. For GEF- and GCF-financed projects, only UNDP quality assurance requirements and project governance can be combined with other projects under a portfolio approach; no other elements can be combined.
30. Once a project portfolio is established, individual project outputs within it may be added or closed as needed. A project can only be in one portfolio to ensure clear accountability for monitoring, governance and communication with partners.

Planning for Monitoring

31. Programme and project monitoring are linked. Each project output is linked to a programme output; output monitoring of the project feeds into outcome and output level monitoring of the programme.
32. Planning for monitoring is done during programme and project formulation, and related documents must:
- a. Identify clear and consistent results (i.e., outcomes and outputs). For programmes, outputs are indicative and should be revised as needed.

- b. Establish clear results-based indicators to measure if a result has been achieved. Ensure the data source and frequency of all indicators are established, along with baselines and targets. National data sources should be used where available and practical.
 - c. Ensure that monitoring activities are scheduled and responsibilities assigned, taking into account that project monitoring has to inform and be informed by overall monitoring processes, such as the Cooperation Framework annual review process and/or national results management processes such as outcome groups and sector-wide arrangements.
 - d. Identify and engage in/contribute to relevant mechanisms such as a UN joint results group, other outcome group or sector-wide coordinating mechanism to harmonize coherent monitoring approaches within the UN development system.
 - e. Ensure risks are identified, and risk management measures planned and budgeted for to inform decision-making.
 - f. Establish assurance activities, including quality assurance, scheduled audits and HACT spot checks as relevant.
 - g. Ensure that monitoring evidence would reliably inform periodic reassessment and validation of the related theory of change to understand whether the project outputs remain relevant to achieving the corresponding country programme outcome.
 - h. Ensure that programme and project budgets include adequate human and financial resources for monitoring and evaluation as per the benchmarks established in the [Monitoring Policy](#).
 - i. Ensure capture of lessons learned on what worked and what didn't work and explain how data and information generated by project implementation was used to adjust the project course or eventually inform other interventions.
 - j. Establish if the project will be evaluated and state plans for evaluation.
33. For projects where UNDP serves only as the managing agent for country-based pooled funds, monitoring activities should be undertaken in line with the operational manual for the fund.
34. The Gender Marker must be applied for all UNDP-supported outputs in line with the Gender Equality Strategy. At least 15 percent of the programme resources should be invested in gender-responsive results.

For projects where UNDP plans to engage with the non-UN security sector, the [UN's Human Rights Due Diligence Policy \(HRDDP\)](#) applies which aims to ensure the Organization does not provide support to entities committing grave violations of international humanitarian, human rights and refugee law.

Planning for Evaluation

35. Planning for evaluation must start at the time of programme and project design. Resources are allocated for programme evaluation through evaluation plans approved by the Executive Board. It is mandatory for UNDP to prepare and present a costed evaluation plan to its Executive Board as an annex to country and regional programme documents submitted for approval. Resources budgeted for decentralized evaluations (i.e., evaluations overseen by the programme unit) should be secured during budget preparation.
36. An evaluation plan should include an appropriate mix of programme and project evaluations that will generate the most critical and useful information for UNDP and its partners in decision-making. The evaluation plan should be updated regularly to include all new evaluations planned or undertaken.

37. Evaluations required by a cost-sharing agreement or partnership protocol—including evaluations for projects financed by the environmental vertical funds (GEF, GCF and AF)—must be included in evaluation plans. It is mandatory for the Cooperation Framework to be evaluated at least once per cycle. The following project benchmarks detail further mandatory project evaluations⁴:-
- a) Projects with a planned budget or actual expenditure of over US\$5 million plan and undertake both a mid-term and final evaluation⁵
 - b) Projects with a planned budget or actual expenditure between US\$3 and US\$5 million plan and undertake either a mid-term or final evaluation⁶
 - c) Projects with a duration of more than 5 years⁷ plan and undertake either a mid-term or final evaluation
 - d) Projects entering a 2nd phase should plan and undertake an evaluation⁸
 - e) Development initiatives being considered for scaling up should be evaluated before expansion.
38. All evaluations should be designed and conducted according to the [United Nations Evaluation Group norms and standards](#).

Results-Based Budgeting and Funding

39. UNDP uses results-based budgeting for programmes and projects. This is a process in which (a) programme formulation revolves around a set of expected results, (b) expected results justify resource requirements derived from and linked to outputs, and (c) performance in achieving results is measured by objective performance indicators. Results-based budgeting is captured in the results and resources framework for the programme and the multi-year workplan with associated results frameworks for projects. It defines UNDP and other funding partner resources required to deliver planned results. Country-programme results-based budgets should build on the Cooperation Framework common budgetary framework and financing strategy.
40. The guiding principles of results-based budgeting are:
- a. Programme budgets focus on outcome-level results; project budgets focus on output-level results and the activities required to achieve outputs.
 - b. Activities to deliver agreed outputs are derived from the project's theory of change, and fully costed in the project budget. This is connected to the outcomes through the programme's theory of change and costed in the country/regional programme document results and resources framework.

⁴ Country offices may request the Regional Evaluation focal point to waive evaluations based on reasonable justification. At the same time, if a project is due to be evaluated as part of an Outcome, portfolio or thematic evaluation then a separate project evaluation may not be necessary.

⁵ If the project is less than 4 years then only one evaluation is required.

⁶ This covers projects and not development services. While it is recommended that programme units evaluate large development service projects, delivery efficiency can be covered through audits.

⁷ Projects exceeding 5 years should be evaluated within 6 months if they have not yet been evaluated.

⁸ A project is entering in a second phase when propose to scale up results, through a substantive project revision or a new project.

- c. Budget development should be participatory and evidence-based. In addition to consulting stakeholders in the development of the theory of change, relevant funding partners should participate in developing and finalizing the budget.
 - d. Budget performance is measured through monitoring targets as defined in the indicators of the results framework and delivery rates. Targets should be able to show the change in results that can be achieved with a change in resources.
 - e. Budgets reflect the assumptions of resources required to deliver results. As such, they must be flexible and easily revised in response to findings from monitoring, testing the theory of change and changes in context (note that restrictions apply to GEF- and GCF-financed projects).
41. All development projects must formulate a realistic multi-year workplan, budgeting costs at activity level for the project duration (on a multi-year basis where necessary), from commencement to project closure. Designing and defining a project – its outputs and activities, with fully costed budget inputs, is critical for successful implementation. UNDP's budget template is available [here](#).
 42. All anticipated programmatic and operational costs, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the budget. A detailed list of components to be budgeted is available [here](#).
 43. Project funds are mobilized from various sources for project expenditures as defined in the project budget. Project financial arrangements must be planned in this process. They may include funding from UNDP regular resources, government cost-sharing, donor contributions, multi-donor trust funds, vertical or trust fund financing, the private sector and others. Where results require leveraging partner resources that will not go through UNDP, this must be reflected in the programme and project documents and risk register.
 44. A project document can be approved based on the financing plan; not all project funding needs to be committed or available at the start of the project. If adequate resources are not available to fully fund the project, the multi-year workplan must be clearly prioritized, indicating which outputs and/or activities will be funded first with resources available at the time of signing the project. A resource mobilization and communications plan must be incorporated in the relevant sections of the project document. This includes an indication of priorities and mitigation measures if needed resources do not materialize.
 45. The procedures and policies required by the funding partner must be followed, in addition to UNDP's policies and procedures, for funding windows, UN pooled funds, the GCF and GEF, and other vertical funds. Project funding procedures are detailed under [Pipeline and Revenue Management](#) in the Financial Resource Management chapter of the Programme and Operations Policies and Procedures.
 46. When other resources such as cost-sharing or trust funds are involved in the project, applicable cost recovery mechanisms must be applied in accordance with the Cost Recovery Policy, as general management support rates vary by the type and source of funding. Cost recovery, including direct project costs, must be clearly included in the project budget.
 47. When the project is expected to share services or other common costs within the office, or receive services from other Cost Centers (rather than contracting/spending directly under the project), these must be included in the project budget under the relevant activity.

48. For development service agreements, fees due to UNDP must be clearly defined in the agreement between UNDP and the funder of the development service.
49. The requirements for developing a project budget are outlined in [Prepare Fully Costed Budgets for Projects](#).

Partnerships and Communications Strategy and Action Planning

50. The country programme must have a partnerships and communications strategy and action plan (PCAP) integrated into the programme documentation as part of its design.
51. The PCAP must include the following mandatory elements:
 - a. Outlook: Summary of the partnerships landscape and comparative advantage in the context of the country programme;
 - b. Strategic objective: Strategy to position UNDP among partners and to fund the country programme, including UNDP's value proposition and resource mobilization targets;
 - c. Actions: Partners being targeted, pipeline,⁹ actions including country office capacity investments, risks; and
 - d. Statement of the programme's communications objectives; target audiences; key messages aligned with the country programme and its partnership/resource mobilization aims; and major communications actions, tools and mechanisms.
52. The PCAP must be submitted to the Regional Bureau for its quality assurance as part of the country programme formulation and implementation process. The PCAP must be updated regularly by the country office over the country programme period, and be monitored by the Regional Bureau, including through at least one annual status review. Guidance on the PCAP can be found in the [RM Toolkit and Communications Toolkit](#).

Initiation Plan and GEF Project Preparation Grant

53. An initiation plan can be prepared when resources are required to help finalize project design, initiate the start-up of pilot activities or respond immediately to a crisis. Project preparation grants (PPGs) are resources approved by the GEF for initiation plans.
54. Initiation plans are documents that must contain the following elements: the purpose of the initiation plan, and the activities and budget required for formulating the project and/or carrying out programmatic activities necessary to initiate a crisis response. GEF initiation plan documents to programme PPG resources must follow the BPPS Nature, Climate and Energy IP/PPG template as the GEF does not allow certain activities to be financed using PPG resources (e.g., start-up of pilot activities).
55. The programme manager/Resident Representative approves the initiation plan, which is typically implemented directly by UNDP, although other modalities are possible when requested by a government. There must be evidence that the government agrees to the plan, through meeting minutes, an exchange of letters or emails, or a signature on the plan document. In exceptional cases, the Regional Bureau Director may waive this requirement. The duration of the initiation plan may

⁹ Approved resource mobilization targets will be reflected in corporate planning systems and monitored against pipelines.

not exceed 18 months. While project quality assurance is not required for initiation plans, reasonable judgement must be exercised to assure quality as well as social and environmental sustainability. The SESP must be completed where there are potential social or environmental impacts, and a gender marker must be provided.

Development and Institutional Effectiveness Projects

56. Institutional effectiveness projects manage inputs and activities that enable UNDP to contribute to development results. This type of project does not require a project document and can operate on a continuing basis. An annual workplan and budget must be prepared and approved by staff with appropriate delegation of authority.
57. Development effectiveness projects deliver outputs that UNDP designs and oversees to contribute to the quality, effectiveness and efficiency of results across multiple development projects. Such projects should be used for cross-cutting interventions that set standards; generate and share knowledge and learning; and develop and operationalize development policies. Institutional effectiveness projects manage inputs and activities that enable UNDP to contribute to development results.
58. These types of projects do not require a project document and can operate on a continuing basis. An annual workplan and budget must be prepared and approved by staff with appropriate delegation of authority.