



United Nations Development Programme

Country: Barbados and the OECS

Project Document

Project Title	Strengthening resilience and coping capacities in the Caribbean through integrated early warning systems
UNDAF outcome(s):	Enhanced capacity of national, sub-regional and regional institutions and stakeholders to: effectively manage natural resources; build resilience to the adverse impacts of climate change and natural and anthropogenic hazards; improved energy efficiency and use of renewable energy; improved policy, legal, regulatory and institutional frameworks for environmental and energy governance
Expected M-CPAP output(s):	Output 1: Improved risk identification and multi-hazard early warning systems Output 3: Strengthened community resilience Output 4: Knowledge and good practices disseminated and capacity development in the areas of natural resource management, disaster risk reduction, climate change, renewable energy, energy efficiency, low carbon emissions, biosafety and adherence to international standards and norms
Expected project output(s):	Output 1: Regional harmonisation and knowledge sharing for EWS Output 2: Knowledge of risk and vulnerability enhanced in communities to improve preparedness and response Output 3: Framework for CAP-compliant all-hazard early warning systems integrated at national and community levels
Implementing Partner:	UNDP
Responsible Parties:	CDEMA, CTIC, CIMH

Brief Description

This project seeks to create an enabling environment that can facilitate the adoption of Common Alerting Protocol (CAP) EWS by other countries in the region through systemisation of the process and lessons learned. It will add two territories to the Caribbean network of established all-hazard CAP-based EWS, and upscale to end-to-end automated CAP systems. In this manner the project aims to reduce the vulnerability of communities facing multiple natural hazard risks in Caribbean small islands by helping communities become better informed about natural hazards and their vulnerability, with a system being implemented to allow the automated receipt of hazard notifications and dissemination of alerts via an integrated CAP-based all-hazard EWS. One of the strengths of the CAP lies in its ability to be adaptable. Ultimately the system can be expanded and improved with time as local and national capacities strengthen and confidence in the system continues to grow.

The approach will see increasing knowledge and understanding of the multi-hazard scenario at local level; upscaling EWS to integrated end-to-end systems, articulated and coordinated at territorial and institutional level with timely and accurate information about hydro-meteorological and geological hazards through innovation and technology for improving local alert capacities; and capturing of experiences and processes to create a duplicable template that can be adopted by other countries in the region.

Programme Period:	2012-2016
Key Result Area (Strategic Plan):	Resilience
Atlas Award ID:	_____
Start date:	1 May 2015
End Date	31 Oct 2016
PAC Meeting Date	Apr 2015
Management Arrangements	DIM

2015 AWP budget:	US\$372,871.74
Total resources required	US\$809,748 (€744,720)
Total allocated resources:	US\$649,748 (€600,000)
• Regular	_____
• Other:	_____
◦ Donor	_____
◦ Government	_____
Unfunded budget:	US\$160,000
In-kind Contributions	

Agreed by UNDP: _____
Date/Month/Year

Agreed by Barbados: _____
Date/Month/Year

Agreed by Dominica: _____
Date/Month/Year

Agreed by Saint Lucia: _____
Date/Month/Year

Agreed by St Vincent and the Grenadines: _____
Date/Month/Year

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I. PROJECT RESULTS FRAMEWORK

Intended Outcome as stated in the Country Programme Results and Resource Framework:					
Outcome 1. Enhanced capacity of national, sub-regional and regional institutions and stakeholders to: effectively manage natural resources; build resilience to the adverse impacts of climate change and natural and anthropogenic hazards; improved energy efficiency and use of renewable energy; improved policy, legal, regulatory and institutional frameworks for environmental and energy governance					
UNDP Country Programme Outcome Indicators:					
Number of updated, tested and publicly available contingency plans per country					
Applicable Key Result Areas (2014-17 Strategic Plan): Resilience					
Applicable Outcomes (2014-17 Strategic Plan):					
Outcome 5. Countries are able to reduce the likelihood of conflict and lower the risk of natural disasters, including from climate change					
Applicable Outcome Indicators:					
5.1 Mortality rate from natural hazards					
5.2 Economic loss from natural hazards (e.g. geo-physical and climate-induced hazards) as a proportion of Gross Domestic Product (GDP)					
Applicable Outputs (2014-17 Strategic Plan):					
Output 5.4. Preparedness systems in place to effectively address the consequences of and response to natural hazards (e.g. geo-physical and climate related) and man-made crisis at all levels of government and community					
	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
Project Objective¹ (equivalent to output in ATLAS) To strengthen national preparedness mechanisms through improved hazard monitoring and alert dissemination, targeting vulnerable communities and groups; and create regional framework for	% of targeted beneficiary population know and are able to identify EWS alert messages and respond in an understandable and timely way	0%	75%	Test reports and feedback logs from system Site visit and site surveys Simulation exercise reports	Consultants and agencies would be willing to engage with communities on evenings and weekends when participation is likely to be higher. Vulnerable persons may not be reached or may not feel free to voice their views and concerns.
	Number of end-to-end CAP EWS functioning in communities and managed by national authorities, developed using a systematised regional framework	0	3	Test reports and feedback logs from system Monitoring protocols Site visit and site surveys Simulation exercise reports DEWETRA data logs	Agreements are established early in project implementation with national partners relating to ongoing sustainability - maintenance, national budgeting, appointment and training of technical focal points. Training and capacity building activities will target both political and technical authorities and

¹ Objective (Atlas output) monitored quarterly ERBM and annually in APR

facilitating multi-hazard CAP EWS					Regional CAP EWS toolkit	<p>personnel as well as non-government agencies to ensure sustainability.</p> <p>Projects currently ongoing in-country which have EWS components may not directly be engaging with NDOs to ensure a CAP-based approach is taken.</p> <p>The alignment of the Action with the CDM Strategy 2014-2024 will ensure continued buy in and commitment of the national partners to the process and to the continuation and future enhancement of project results. Primarily this relates to Output 4.3 Community EWS integrated, improved and expanded, but also to Outputs 1.2 and 4.4. Additionally, it aligns with the priorities for action under the Sendai Framework: Preparedness for response, recovery and reconstruction; and Understanding disaster risk.</p> <p>Lessons learned during the implementation of the Community Alerts Project (DIPECHO 2013-2014) will be systematically applied to reduce implementation delays, improve project strategy and sustainability, and strengthen project effectiveness and impact.</p>
	Best practices, tools and experiences for implementing CAP-based EWS articulated and disseminated through regional online platform	0	1	<p>Toolkit developed and available through online platform</p> <p>Number of downloads of toolkit from online platform</p> <p>EWS case studies available through online platform</p>		
Outcome 1² Regional harmonisation and knowledge sharing for EWS	Comprehensive regional process articulated for implementing CAP EWS based on experiences	0	1	Completed EWS toolkit available online		
	Number of new EWS case studies developed and shared on active regional knowledge platform	3	7	<p>Template developed</p> <p>Documented case studies</p> <p>Number of downloads</p>		
	Number of countries in the region which recognise the integrated EWS model and commit to its adoption in the future	9	15	<p>Letters of commitment</p> <p>activity work plans</p> <p>project proposals</p>		
Outputs to deliver Outcome 1:						
1.1 Development of regional EWS technical and knowledge sharing mechanisms						
1.2 Regional harmonisation of EWS policy and protocols						
1.3 Systematisation through creation of a CAP EWS Toolkit						

² All outcomes monitored annually in the APR. It is highly recommended not to have more than 4 outcomes.

Outcome 2 Knowledge of risk and vulnerability enhanced in communities to improve preparedness and response	% of beneficiaries in the target communities know the risks of the hazards faced and know the contingency measures to adopt in case of disaster % increase in beneficiary participation in simulation exercises in countries with previous CAP EWS experience	0% 0%	75% 20%	KAP surveys interviews of key stakeholders simulation exercise report Adapted communications strategies based on lessons learnt simulation exercise reports After Action Review (AAR)	
Outputs to deliver Outcome 2: 2.1 Community assessment of vulnerability and capacities 2.2 KAP surveys 2.3 Risk awareness programme 2.4 EWS education					
Outcome 3 Framework for CAP-compliant all-hazard early warning systems integrated at national and community levels	% of targeted population receiving alerts responding according to pre-established protocols and procedures Number of vulnerable communities with operational end-to-end CAP EWS, managed by trained national authorities	0% 0	75% 3	Installation reports testing reports simulation exercise reports After Action Review (AAR) Installation reports testing reports site visits and site surveys DEWETRA data logs simulation exercise reports After Action Review (AAR)	
Outputs to deliver Outcome 3: 3.1 Participatory system design and validation 3.2 Installation, testing and training for alerting 3.3 Improvement and integration of hazard monitoring systems 3.4 Simulation exercises					

II. ANNUAL WORK PLAN

Year: 2015

EXPECTED OUTPUTS	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET	
		Q1	Q2	Q3	Q4		Funding Source	Amount
Outcome 1: Regional harmonisation and knowledge sharing for EWS	1. Development of regional EWS technical and knowledge sharing mechanisms - Develop online platform - Create case study template and content - Regional workshops					UNDP CDEMA IFRC	Local consultants Travel Training, workshops and conferences Service contractors	6,521.74 13,048.48 3,260.87 14,130.43
Outcome 2 Knowledge of risk and vulnerability enhanced in communities to improve preparedness and response	1. Community assessment of vulnerability and capacities - Support to capacity building in VCA methodology - Conduct VCAs and EWS assessment					UNDP IFRC	Local consultants Training, workshops and conferences Travel	32,608.70 6,000.00 5,434.78
	2. KAP surveys conducted - Pre-activity study - Formulate communication strategies					UNDP	International consultants Training, workshops and conferences	16,304.35 7,043.48
	3. Risk awareness programme developed and implemented - Identify relevant hazards - Produce PA materials					UNDP CTIC	Audiovisual production Service contractors	16,000.00 14,130.43

	4. EWS education programme developed and implemented - Produce PA materials				UNDP	ECHO	Audiovisual production	5,739.13
Outcome 3 Framework for CAP-compliant all-hazard early warning systems integrated at national and community levels	1. Participatory system design and validation - Community and national consultations - Analysis of gender and vulnerable groups needs				UNDP	ECHO	International consultants Training, workshops and conferences	12,608.70 2,173.91
	2. Installation, testing and training for alerting - Site and capacity assessment - System design				UNDP	ECHO	International consultants Service contractors	20,000.00 14,130.43
	3. Improvement and integration of hazard monitoring systems - Site assessment - System design - Procure equipment - Installation, testing and connection to CAP server - User training				UNDP CIMH	ECHO	Equipment and machinery Travel	146,739.13 2,173.91
Project management						ECHO	Communication	652.17
						ECHO	Direct project costs	9,782.61
Sub-total								348,478.26
GMS (7%)								24,393.48
TOTAL								372,871.74

III. TOTAL BUDGET AND WORK PLAN

Project Outcomes / Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	Atlas Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Total (USD)	Notes
7OUTCOME 1	UNDP	TBC	ECHO	71300	Local Consultants	6,521.74	23,913.04	30,434.78	1
				71600	Travel	13,043.48	43,478.26	56,521.74	2
				75700	Training, workshops and conferences	3,260.87	13,043.48	16,304.35	3
				61300	Service contractors	14,130.43	18,478.26	32,608.70	4
				74500	Miscellaneous	0.00	0.00	0.00	
					Total Outcome 1	36,956.52	98,913.04	135,869.57	
OUTCOME 2	UNDP	TBC	ECHO	61300	Service contractors	14,130.43	18,478.26	32,608.70	5
				71200	International Consultants	16,304.35	7,608.70	23,913.04	6
				71300	Local Consultants	32,608.70	0.00	32,608.70	7
				71600	Travel	5,434.78	5,434.78	10,869.57	8
				74200	Audiovisual production	21,739.13	34,782.61	56,521.74	9
				75700	Training, workshops and conferences	13,043.48	6,521.74	19,565.22	10
				74500	Miscellaneous	0.00	0.00	0.00	
					Total Outcome 2	103,260.87	72,826.09	176,086.96	
OUTCOME 3	UNDP	TBC	ECHO	71200	International Consultants	32,608.70	0.00	32,608.70	11
				71600	Travel	2,173.91	6,521.74	8,695.65	12
				72200	Equipment and Machinery	146,739.13	175,000.00	321,739.13	13
				75700	Training, workshops and conferences	2,173.91	13,043.48	15,217.39	14
				61300	Service contractors	14,130.43	18,478.26	32,608.70	15
				74500	Miscellaneous	0.00	0.00	0.00	
					Total Outcome 3	197,826.09	213,043.48	410,869.57	
	UNDP	TBC	ECHO	71200	International consultants	0.00	10,869.57	10,869.57	16

Project Outcomes / Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Total (USD)	Notes
PROJECT MANAGEMENT				72400	Communication	652.17	978.26	1,630.43	
				74500	Miscellaneous	0.00	0.00	0.00	
				74599	Direct project costs	9,782.61	11,413.04	21,195.65	
					Total Management	10,434.78	23,260.87	33,695.65	
SUB-TOTAL	UNDP	TBC	ECHO			348,478.26	408,043.48	756,521.74	
GMS (7%)	UNDP	TBC	ECHO			24,393.48	28,563.04	52,956.52	
PROJECT TOTAL						372,871.74	436,606.52	809,478.26	

Budget notes

1. Development of EWS Toolkit and knowledge portal
2. Regional workshops e.g. DIPECHO meetings, CDM Conference
3. Regional workshops e.g. DIPECHO meetings, CDM Conference
4. Project Coordinator
5. Project Coordinator
6. KAP surveys, communications specialist
7. Vulnerability and Capacity Assessments (IRFC)
8. Participation in national consultations
9. Public awareness materials
10. Community and national consultations
11. Site assessments, system design, technical guidance, user training and oversight
12. Site monitoring, participation in simulation exercises
13. Hazard monitoring equipment, alert dissemination technologies
14. User training, simulation exercises
15. Project Coordinator
16. Final evaluation

IV. MANAGEMENT ARRANGEMENTS

The project is directly aligned with the UNDP Strategic Plan 2014-2017 Outcome 5 and will be executed under UNDP's Direct Implementation Modality (DIM). UNDP's Sub-Regional Office for the Eastern Caribbean based in Barbados has agreed to function as Responsible Party for services related to recruitment of project staff and consultants, travel, sub-contracting, organisation of regional workshops, etc. The costs of the UNDP SRO services will be borne from the Project Management Cost budget.

UNDP Barbados and OECS will recruit a dedicated Project Coordinator, who will be entrusted to support the SRO to deliver on the outputs outlined in this project document. The Project Coordinator will be responsible for the day-to-day management and coordination of the project, under the supervision and guidance from the Deputy Resident Representative of UNDP Barbados and OECS or their designate.

UNDP will undertake regular oversight of project implementation including management arrangements, annual work planning and in-situ monitoring, financial and results management, evaluation and project closure.

The **Project Board** is responsible for making management decisions for a project, in particular when guidance is required by the Project Manager. The Project Board plays a critical role in project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies. In addition, it approves any delegation of its Project Assurance responsibilities. Based on the approved Annual Work Plan (AWP), the Project Board can also consider and approve the quarterly plans (if applicable) and also approve any essential deviations from the original plans. The Terms of Reference are included in Annex 1.

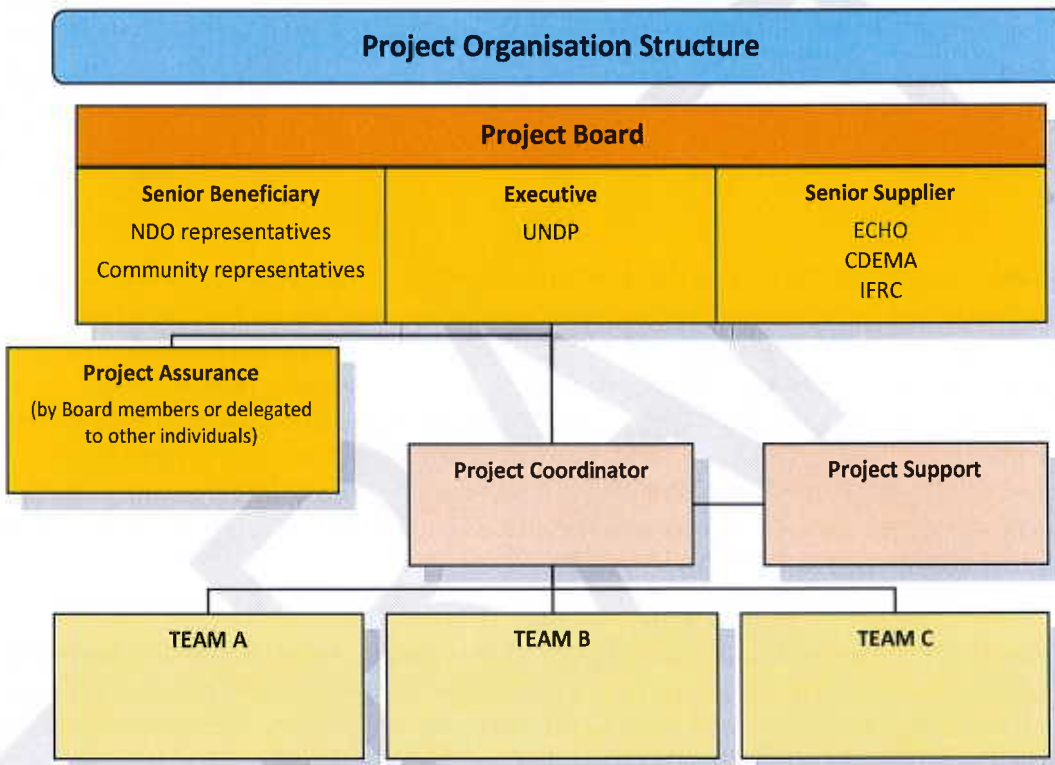
In order to ensure UNDP's ultimate accountability for the project results, Project Board decisions will be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case consensus cannot be reached within the Board, the final decision shall rest with the UNDP.

Potential members of the Project Board are reviewed and recommended for approval during the Project Appraisal Committee (PAC) meeting. Representatives of other stakeholders can be included in the Board as appropriate. The Board contains four distinct roles:

- **Executive/Project Director:** individual representing the project ownership to chair the group. For this project the UNDP Resident Representative for Barbados and the OECS will assume this role.
- **Development Partners/Senior Supplier:** individual or group representing the interests of the parties concerned which provide funding for specific cost sharing projects and/or technical expertise to the project. The primary function within the Board is to provide guidance regarding the technical feasibility of the project. The EU will assume this role.
- **Beneficiary Representative:** individual or group of individuals representing the interests of those who will ultimately benefit from the project. The primary function within the Board is to

ensure the realisation of project results from the perspective of project beneficiaries. Nominated representatives of the beneficiary countries will serve on the Project Board in this capacity.

- **Project Assurance:** this role is the responsibility of each Project Board member; however the role can be delegated. The project assurance role performs objective and independent project oversight and monitoring functions, independent of the Project Manager, ensuring appropriate project management milestones are managed and completed. The Deputy Resident Representative of UNDP Barbados and the OECS, or their designate, will provide quality assurance oversight.



Project Coordinator: The Project Coordinator has the authority to run the project on a day-to-day basis on behalf of the **Implementing Partner** within the constraints laid down by the Board. The Project Coordinator’s primary responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The Implementing Partner appoints the Project Coordinator, who should be different from the Implementing Partner’s representative in the Project Board.

The **Project Support** role provides project administration, management and technical support to the Project Coordinator as required by the needs of the individual project or Project Coordinator. Such functions include administrative services, project documentation management, financial management, monitoring and reporting, and provision of technical support services.

Role of Partners

UNDP will seek to maximise synergies with DIPECHO partners, especially when they are, or have been, present in the countries targeted by the project. The Caribbean Disaster Emergency Management Agency (CDEMA) will be the strategic focal point for systemisation and dissemination of the practices of CAP EWS at a regional level, alongside the International Federation for Red Cross and Red Crescent Societies (IFRC). UNDP Barbados and the OECS maintains working relationship with the World Meteorological Organisation and the Caribbean Institute for Meteorology and Hydrology (CIMH), key partners in terms of early warning systems. Partner agencies such as UNWOMEN, the UN Office for Disaster Risk Reduction (UNISDR) and UNICEF will also be engaged in advising on approaches for engaging and addressing the needs of special and vulnerable groups. Expertise will be sought from UNISDR, UNDP Cuba and UNWOMEN on gender analysis, and gender needs in EWS. The Caribbean Tsunami Information Centre (CTIC) will be integral in the strengthening of knowledge and response capacities around tsunamis.

It is proposed to develop an online forum for continued technical and experience sharing (output 1.1), ideally as a space on CDEMA's website that allows group discussions, posting questions, sharing documents (e.g. toolkit), sharing when national EWS are activated and successes/challenges. This can be part of a broader technical DRR interactive space.

Systemisation of case studies to share experiences from countries implementing end-to-end EWS will be conducted in conjunction with UNDP Cuba and IFRC. These can be hosted on various platforms, including CDEMA and DIPECHO LAC. Additionally this activity will be closely aligned to that of the IFRC which looks at "Sharing of Community Early Warning Systems (CEWS) system tools and methodology" which will outline the methodologies, best practices and lessons learnt from the CEWS experiences. The information gathered and discussed will be a part of the toolkit development (output 1.3).

It is important to engage with the wider regional DRR constituency to share the evolution of these experiences. The Caribbean Comprehensive Disaster Management (CDM) Conference will be a key avenue for exploring continued advocacy. Furthermore, efforts will be made to coordinate with other DIPECHO partners who will have related activities with which synergies can be built and beneficiaries can expand their knowledge and skills base. These include regional DIPECHO meetings, UNISDR activities on gender and EWS, and UNDP Cuba learning and sharing activities relating to hydro-meteorological hazards.

The risk awareness programme (output 2.3) will be augmented through implementation of the "TsunamiReady" programme which is currently being implemented by CTIC under the Intergovernmental Coordination Group for the Caribbean and its Adjacent Regions (ICG/CARIBE EWS) of the Intergovernmental Oceanographic Commission of the United Nations Educational, Scientific, and Cultural Organisation (UNESCO/IOC). This will reinforce capacities around risk knowledge, alerting, response and testing specifically around tsunamis. Attention to this particular hazard is critical in these coastal communities in a seismically active region. This programme requires communities to be re-certified every 3 years. This process includes a re-evaluation of testing activities, inspection and maintenance of installations and equipment as well as continued public awareness and education activities within the intervening certification periods. The programme will be especially strongly pushed during hurricane seasons when the population is generally more alert to hazard information.

In order to enhance hazard monitoring capabilities to facilitate CAP-based end-to-end (detection, notification, alerting) EWS, monitoring stations will be upgraded and/or installed (e.g. water level and

rain gauges, soil movement sensors) in locations vulnerable to landslides and flooding. As the entity with the relevant regional mandate, existing capacity and ongoing related programmes, CIMH will provide the services relating to hazard surveillance and the DEWETRA platform. These stations will be set with alert triggers such that when the sensor detects the approached threshold, a notification is sent to the CAP server. Normal logging of data collected by the sensor will be transmitted to DEWETRA and a secondary site in-country (if determined). Maintaining data transmission, power and security will be important elements in designing and locating the systems. Secondary notifications may be issued by CIMH on analysis of the data (threshold exceedance) received at DEWETRA, plus other observational and modelling data on the platform (e.g. satellite imagery (TRMM, GOES), radar, WFP Caribbean).

Collaborative Arrangements with Other Projects

Consultations with IFRC and UNISDR have led to an initial matrix of identified areas for joint collaboration among these regional DIPECHO projects. UNDP will continue to work closely with UNISDR, which is also ongoing under two GFDRR-supported projects. Opportunity for cooperation will be sought particularly to facilitate the dissemination of tools, products and methods available at UNISDR, in particular examining gender and EWS.

UNDP has identified potential areas for collaboration with IFRC, through their existing capacities as well as within their current DIPECHO project, including in applying VCAs and sharing EWS best practices and community resilience.

Collaboration is anticipated with CDEMA throughout the project e.g. their technical expertise in conducting the simulation exercises, which will also be facilitated through collaboration with the National Disaster Offices and the national Red Cross Societies. CDEMA will also be key in the regional systemisation of the EWS process, development of the Toolkit, advocacy, and creating the knowledge sharing platform.

UNDP will ensure complementarity with other projects by actively seeking to avoid overlap and looking at sharing good practices and tested methodologies.

Several partners, including CDEMA and NDOs, will also be engaged in the general oversight of project implementation through the Project Board.

Exit Strategy

This project supports the work programmes of the development partners mentioned previously and is in concert with the Sendai Framework 2015-2030. Specificities of joint or complementary activities with DIPECHO partners in the region will be concretised during the initial DIPECHO planning workshop. An initial draft matrix of selected areas to determine further coordination (dates, countries, products expected) for UNDP, IFRC and UNISDR regional projects has been prepared and exchanged among the 3 regional projects as a basis for the discussion. UNDP Barbados has also discussed possible avenues for sharing experiences with UNDP Cuba, including in hazard monitoring and the use of the DEWETRA platform.

Communication, Visibility and Information Activities

A communication strategy will be designed for each country aimed at engaging the communities in the roll out of the project and in building knowledge. The methodologies depend on initial assessment, communities' inputs and expert technical advice. The objective of the visibility and communication

strategy will be to ensure that all the beneficiaries and external stakeholders are aware that the initiative is being undertaken with support from the European Commission.

In terms of visibility on goods and equipment, UNDP will strictly adhere to the provisions of the FAFA, the General Conditions and "Joint Visibility Guidelines for EC-UN actions in the field". EU's logo will be made clearly visible.

The EU's involvement would also be acknowledged in other public fora where the project interacts including during community meetings, EWS launch activities and simulation exercises. Press releases, media articles, etc would also highlight the EU's support.

DRAFT

V. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the UNDP Enhanced Results Based Management Platform.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see Annex 2), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Coordinator to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

An independent Final Evaluation will take place three months prior to the final Project Board meeting and will be undertaken in accordance with UNDP and DIPECHO guidance. The Final Evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the Mid-Term Evaluation, if any such correction took place). The Final Evaluation will examine impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals.

The Final Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to the UNDP Evaluation Office Evaluation Resource Centre (ERC).

At the commencement of the last three months of the project's duration, the Project Coordinator will prepare the Project Terminal Report. This comprehensive report will summarise the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

M&E work plan and budget

Type of M&E activity	Responsible Parties	Budget US\$	Time frame
Inception workshop and report	<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP Barbados and OECS 	5,000	Within first two months of project start
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP SRO ▪ DIPECHO representatives (as appropriate) 	15,000	Yearly
Annual Project Report	<ul style="list-style-type: none"> ▪ Project Coordinator 	0	Annually
Periodic progress reports	<ul style="list-style-type: none"> ▪ Project Coordinator 	0	Quarterly
Final Evaluation	<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP Barbados and OECS ▪ External consultants (i.e. evaluation team) 	10,000	At least three months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP Barbados and OECS 	0	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ UNDP Barbados and OECS ▪ Project Coordinator 	10,000	As determined by HQ
Project Board meetings	<ul style="list-style-type: none"> ▪ Project Coordinator 	10,000	Biannually
TOTAL indicative COST		50,000	
Excluding project team and UNDP staff time			

VI. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the [Supplemental Provisions](#) attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof.

This project will be implemented by the agency, UNDP, in accordance with its financial regulations, rules, practices and procedures.

The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. The Implementing Partner shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

VII. ANNEXES

ANNEX 1: E-SINGLE FORM 2015/00342/RQ/01/03

Refer to attachment

ANNEX 2: TERMS OF REFERENCE

Strengthening resilience and coping capacities in the Caribbean through integrated early warning systems

TERMS OF REFERENCE

Job title	Project Coordinator
Contract Type	Service Contract
Duty Station	Barbados
Duration of assignment	1 year with a possible extension
Contracting authority	United Nations Development Programme
Duty station	Barbados
Beneficiary countries	Barbados, Dominica, Saint Lucia, St Vincent and the Grenadines

1.0 PROGRAMME BACKGROUND

UNDP has been providing support to the region in this area continuously since the 1990s, supporting the recovery in Montserrat post volcanic eruptions in the late 1990s, and shaped by the response to the impact of Hurricane Ivan on Grenada in 2004. Work during the current programme period 2012-2016 is aligned with the Barbados and the OECS United Nations Development Assistance Framework (UNDAF) and Sub-regional Programme Document (SPD) outcomes; and the global Hyogo Framework for Action (HFA) 2005-2015 and regional Comprehensive Disaster Management (CDM) Strategy 2014-2024 led by the Caribbean Disaster Emergency Management Agency (CDEMA). The work programme for 2012-2016 is developed based on priorities as articulated by the countries and UN Sub-regional Team in the UNDAF and UNDP SPD. It focuses on building resilience to the impacts of climate change and anthropogenic hazards, specifically enhancing the integration of disaster risk reduction into development planning, improving and disaster response and recovery. All of the countries served are also CDEMA Participating States.

Consistent with this strategic direction, projects implemented during this period include the following:

UNDP is currently working to strengthen capacities across the region in the application of the Post-Disaster Needs Assessment (PDNA) methodology; and mechanisms for improving disaster loss databases in countries and using such information within risk assessments to strategically inform national investments and decision making, and thus improve their resilience.

Supporting disaster recovery is also a key part of the Sub-regional Office's mandate. In Montserrat following the eruptions of the Soufriere Volcano from the late 1990s; in Grenada following Hurricanes Ivan (2004) and Emily (2005); in Saint Lucia following Hurricanes Dean (2007) and Tomas (2010); in Dominica following Hurricane Dean (2007); in Saint Lucia and St Vincent and the Grenadines following Hurricane Tomas (2010); and in Dominica, Saint Lucia and St Vincent after the Christmas floods (2013). For the latter, in addition to relief assistance and early recovery support, UNDP also led the PDNA process, including training of national personnel in the methodology and articulating the Recovery and Reconstruction Strategy for two of the countries.

2.0 PROJECT BACKGROUND

The Caribbean is a region prone to earthquakes, and other phenomena such as submarine landslides and underwater volcanoes (Kick'em Jenny offshore of Grenada and the Grenadines) are potentially tsunamigenic. In addition to a particular exposure, these communities have comparatively higher vulnerabilities caused by their lack of preparedness. Economic risks are also important since assets are concentrated in low-lying areas subject to flooding and coastal hazards.

The Strengthening EWS project is an 18-month initiative designed to mitigate the risks faced by communities in Caribbean small islands exposed to multiple natural hazards through the effective implementation of integrated Early Warning Systems (EWS). Implemented in four islands, the communities targeted are located in low lying coastal areas or areas prone to riverine flooding and landslides.

Currently, communication about disasters at the national level and in particular, between national disaster management authorities and communities is not sufficiently efficient nor robust as there is not the necessary redundancy to support emergency situations. This has implications for effective preparation for and response to hazard events and related disasters. Their specificities (disabled, minority groups, languages etc.) are not adequately considered by usual media such as the radio broadcast. The challenge of alerting communities is multiple: an effective alert must be issued in multiple formats to reach the larger proportion of the population. Currently existing systems are challenged to reach all public segments in time and in a coherent and effective manner.

The Common Alerting Protocol (CAP) is designed as a mechanism for allowing automated receipt of notifications of a pending hazard, and disseminating warning messages to the population via multiple media simultaneously.

The expected outputs are as follows:

- Regional harmonisation and knowledge sharing for EWS
- Knowledge of risk and vulnerability enhanced in communities to improve preparedness and response

- Framework for CAP-compliant all-hazard early warning systems integrated at national and community levels

The project will be executed by UNDP Barbados and the OECS in collaboration with the national disaster offices in the beneficiary countries, the Caribbean Disaster Emergency Management Agency (CDEMA), the Caribbean Institute for Meteorology and Hydrology (CIMH), the Caribbean Tsunami Information Centre (CTIC), the International Federation of Red Cross and Red Crescent Societies (IFRC) and the UN Office for Disaster Risk Reduction (UNISDR).

3.0 FUNCTIONAL RELATIONSHIPS

The Project Coordinator reports to the Programme Manager for Climate Change and Disaster Risk Resilience and the Project Board for the project. He/she also works in close collaboration with other UNDP staff and other partner institutions.

4.0 SUMMARY

Under the guidance of the Programme Manager, the incumbent will coordinate, guide and direct all activities of the project to ensure that the project's objectives and results are achieved in a timely fashion and in accordance with the established rules and procedures of the ECHO and UNDP. This includes ensuring that all project activities mutually support and strengthen each other, and complement existing related activities being implemented by partner institutions, specifically CIMH, CDEMA, CTIC, IFRC and UNISDR. In carrying out the logistics functions, the Project Coordinator shall have specific responsibility to plan, organise, and ensure the timely procurement and distribution of all goods and services.

5.0 DUTIES AND RESPONSIBILITIES

Specifically, the Project Coordinator:

- Coordinates the general planning, execution and monitoring of the project's activities, including the supervision of the project staff
- Monitors events as determined in the Project Monitoring Schedule Plan, and updates the plan as required
- Mobilises goods and services to initiative activities, including drafting ToRs and work specifications
- Supervises the execution of all contracts, approves intermediate payments against review of deliverables, and prepares final evaluations as a condition for final payment
- Liaises with key personnel of project partners to ensure adequate and timely technical inputs to the programme
- Facilitates information sharing and coordination of activities amongst beneficiary country and partner institutions
- Ensures that the administrative and technical processes are carried out in conformity with UNDP and ECHO standards and policies
- Manages requests for the provision of financial resources by UNDP using the FACE (Funding Authorisation and Certificate of Expenditures) as necessary

- Monitors financial resources and accounting to ensure accuracy and reliability of financial reports and oversees the overall financial processes for the project in collaboration with the Programme Assistant
- Undertakes actions necessary for the timely execution of the contractual conditions set out in the contract between UNDP and ECHO, particularly actions relating to the financing of the programme
- Prepares annual work plans for endorsement by the Project Board
- Prepares quarterly and annual financial and project progress reports for review by the Project Board
- Submits monthly internal reports to the Programme Manager on the status of assigned, delegated and designated duties
- Develops, in collaboration with the Programme Assistant, a Communications/Visibility Plan for the project
- Manages and monitors the project risks initially identified; submits new risks to the Project Board for consideration and decision on possible actions if required; and updates the status of these risks by maintaining the Project Risk Log
- Undertakes such travel as may be required from time to time in connection with project execution
- Undertakes any other activities required for the fulfilment of the mandate of the post
- Participates in disaster response activities of UNDP, as may be required

6.0 CONDITIONS

- General administrative office accommodation provided
- Institutional and project implementation support provided through documented Programme and Operations Policies and Procedures (POPP), and through access to available relevant information, resources and facilities
- Position requires periods of travel to beneficiary countries
- Subject to applicable service conditions of UNDP
- Required to maintain current knowledge of the responsibilities of other agencies and organisations with regional disaster management agencies

7.0 EVALUATION CRITERIA

The performance plan will include performance objectives and job standards as well as the core values and key competencies of UNDP including teamwork, creativity and accountability. This will include:

- Demonstrated project, administrative and human management skills
- Achievement of project objectives within the time and financial allocations
- Timely completion of assignments and reports and ability to meet established deadlines
- Fostering of teamwork within the project team
- Knowledge and understanding of and the effective application of UNDP's policies and objectives
- Effectiveness of communication
- Technical accuracy and general quality of assignments undertaken
- Demonstrated reliability and initiative

8.0 REQUIREMENTS

Qualifications and Experience

- Masters degree in disaster risk management, earth sciences or related discipline
- Certification in project management would be a distinct asset
- At least 5 years of experience in related areas such as disaster management, environmental management, etc.
- At least 3 years of progressively responsible experience in project or programme management
- Experience working within a UN agency would be an asset
- Experience implementing a DIPECHO initiative would be an asset

Knowledge and Skills

- Understanding of concepts relating to climate change, risk resilience, adaptation, vulnerability and impact, and other related sustainable human development issues
- Strong demonstrated understanding of the disaster management cycle, particularly the role of early warning systems in preparedness
- The general context of vulnerability and disaster management in the Eastern Caribbean
- Demonstrated skill using project management tools and components
- Ability to efficiently utilise word processing, Microsoft Office, database management, and spreadsheet/accounting software programmes
- Report writing, data acquisition and analysis skills
- Excellent writing, editing, and oral communication skills
- Ability to meet deadlines and prioritise multiple tasks
- Excellent presentation skills
- Good interpersonal and communications skills
- A good working knowledge of disaster and project management issues

Language Requirements

- Fluency in written and spoken English

TERMS OF REFERENCE PROJECT BOARD

1.0 BACKGROUND

UNDP continues to work with countries in the Eastern Caribbean to strengthen their resilience to natural hazards in a region of highly vulnerable small island developing states, in alignment with Outcome 5 of the Strategic Plan "Countries are able to reduce the likelihood of conflict and lower the risk of natural disaster, including climate change". This level of capacity building ranges from mitigation through strengthening risk assessment in public investment and planning to preparation through early warning systems (EWS) and Community Emergency Response Teams (CERTs) to response through disaster relief and post-disaster needs assessment (PDNA).

Within the framework of this project, with the understanding that early warning is one of the most cost effective solutions for reducing disaster losses, and a critical need in vulnerable communities with high exposure and limited coping capacities, UNDP is endeavouring to apply the lessons recently learned in a more effective expansion and upscaling of Common Alerting Protocol (CAP) based EWS in the region, coherent with Output 4.3 of the regional Comprehensive Disaster Management (CDM) Strategy.

Strategically, this will seek to improve resilience in vulnerable communities through bettering their understanding of the hazard risks faced and enhancing the mechanisms for more effective hazard monitoring and disseminating alerts to communities so they are better able to respond. Through these coordinated actions it is expected to drive better decision making at an individual and household level, which will at the very least not increase the level of vulnerability, and increase the amount of time that persons have to prepare and respond to a pending threat to reduce potential losses. The approach will see increasing knowledge and understanding of the multi-hazard scenario at local level; upscaling EWS to integrated end-to-end systems, articulated and coordinated at territorial and institutional level with timely and accurate information about hydro-meteorological and geological hazards through innovation and technology for improving local alert capacities; and capturing of experiences and processes to create a duplicable template that can be adopted by other countries in the region.

2.0 COMPOSITION

Representatives from the following organisations shall comprise the Project Board:

- A national representative as Chair
- United Nations Development Programme (UNDP) Barbados and the OECS Sub-regional Office
- ECHO
- National representatives of 1 additional beneficiary country
- Community representatives from 2 other beneficiary countries
- CDEMA
- IFRC

Country representatives are designed to represent the interests of the entire group of beneficiaries in the most effective and impactful implementation of the project.

3.0 FUNCTIONS OF THE PROJECT BOARD

1. Offer overall policy and technical guidance and direction towards the implementation of the project, ensuring it remains within any specified constraints
2. Provide input into work plans, budgets and implementation schedules to guide the achievement of project objectives
3. Approve project implementation schedule, annual work plan (AWP) and indicative project budget at the commencement of each project year within its remit
4. Provide guidance and agree on possible countermeasures/management actions to address specific project risks
5. Address project issues as raised by the Project Coordinator
6. Agree on Project Coordinator's tolerances as required, and provide ad-hoc direction and advice for situations when tolerances are exceeded
7. Review and endorse changes in project work plans, budgets and schedules as necessary
8. Monitor project implementation and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans
9. Review and make decisions on recommendations related to project management from the Executing Agency or Implementing Agency
10. Arbitrate where necessary and decide on any alterations to the programme
11. Endorse an overall project evaluation and monitoring function for the duration of the project through a mechanism agreeable to all Project Board parties
12. Providing necessary oversight to ensure sustainability of project

4.0 MEETINGS

The Project Board will meet at least every six months, at a time and place convenient to all members. A quorum will be constituted by 51% of the representatives listed at 2.0, and this must be present for meetings of the Project Board to be convened.

5.0 CHAIRPERSON

The Project Board Chair will chair the Project Board meeting.

The Chair will be responsible for:

1. The conduct of the meeting
2. Ensuring that an accurate record of the discussions and decisions of each meeting is prepared and forwarded to all members
3. Ensuring adequate follow-up on the undertakings of the members of the Project Board.

6.0 SECRETARIAT OF THE COMMITTEE

The Project Coordinator will provide secretariat services to the Project Board.

7.0 COMMUNICATION

Documentation being presented for review at any meeting of the Project Board will, as far as possible, be distributed two weeks prior to the meeting. The preparation of the records of all official meetings of the Project Board will be the responsibility of the secretary. These records must be forwarded to Project Board members no later than two weeks after its conclusion.

8.0 DURATION

The Project Board will exist for the duration of the project.

9.0 FUNDING OF PROJECT BOARD ACTIVITIES

Project resources will be used to support the participation of country representatives and other members as required.

10.0 MEETING LOCATION

Meetings of the Project Board will be held at locations agreeable to all members.

DRAFT

ANNEX 3. RISK ANALYSIS

Project Title: Strengthening resilience and coping capacities in the Caribbean through integrated early warning systems	Award ID:
	Date: February 2015

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response
1	Limited community engagement and participation	January 2015	Social/Political	Vulnerable persons may not be reached or may not feel free to voice their views and concerns. P = 2, I = 5	Support will be enlisted from community leaders, relevant NGOs and government agencies which can help to discuss or advocate on behalf of the vulnerable groups e.g. women's associations, support groups for persons with disabilities, associations of retired persons, etc. Consultants and agencies should engage with communities on evenings and weekends when participation is likely to be higher.
2	Slow financial delivery due to limited national absorption capacity	January 2015	Financial	Slow financial delivery can result in disrupting the project's timeframe and result in inability to achieve results on time P = 3, I = 4	The Direct Implementation Modality will be used, which gives greater control for organisation or project outputs, particularly for a multi-country project
3	Natural hazard impact	January 2015	Environmental	Hazard impact such as from a hurricane could delay project activities and result in inability to deliver project activities or even cause destruction to infrastructure. It would also divert national priorities and resources to response, recovery and reconstruction efforts.	In compliance with its corporate policy, the operation of PMU in Barbados will be covered by UNDP's Barbados Business Continuity plan. UNDP would reinforce its support to the countries through the Eastern Caribbean Development Partners Group for Disaster Management (ECDPGDM). In particular, UNDP would contact the local representative of DG ECHO to discuss the

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response
				P = 5, I = 5	possibility of reorienting part of the project funds towards post-disaster assistance to the affected country. A hazard event would also provide the occasion to assess the efficacy of the EWS and draw lessons from the experience.
4	Change in Government	January 2015	Political	Change in government can mean new priorities and, in some cases unwillingness to continue with development initiatives of a previous administration P = 2, I-5	UNDP has undertaken consultations with national actors and ensuring alignment between project priorities and national development needs. Initiate engagement with implementing agencies and at a ministerial level immediately to facilitate buy in and adjustment of work plans to integrate projects' activities as soon as possible.

ANNEX 4. SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE

Project Information

Project Information	
1. Project Title	Japan-Caribbean Climate Change Partnership
2. Project Number	000091590
3. Location (Global/Region/Country)	Caribbean – Belize, Dominica, Grenada, Guyana, Jamaica, Saint Lucia, St Vincent and the Grenadines, Suriname

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project integrate the overarching principles in order to strengthen social and environmental sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

Emphasis is placed on the participation and inclusion of marginalised and vulnerable groups (e.g. persons with disabilities, the poor, the elderly, the unemployed, children, etc) during design and implementation of community-level interventions. The consultative and needs assessment mechanisms envision an approach which is equitable and non-discriminatory in giving all stakeholders a voice and contribution to the decision making process, accountability and rule of law. Emphasis will also be placed on ensuring that information will be shared in a way that all stakeholders understand, in addition, the outputs of the project will promote the reduction of vulnerability and building of resilience to climate and other natural hazard risks.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

In several respects, females face disproportionately higher vulnerability than males with regard to disaster risk and capacities to cope. For instance, female unemployment is typically higher than for males, single female-headed households are more likely to be poor, and there are notable disparities in the dependency ratio for such households, with women primarily carrying the burden of care. This impacts their ability to prepare for and respond to risks, as well as potentially hindering their capacities to recover after an event. The participation of women is highlighted in consultative and decision-making aspects, especially where their vulnerability is very high e.g. poor female-headed households.

Where relevant, the project will provide opportunities for skills development of both men and women in the risk awareness to be provided at a community level. Also, being major transmitters of information within communities, the project will ensure that women are a part of the information building and sharing processes. At a community level, the project will ensure that all community level interventions conduct a gender needs assessment to ensure that the interventions are gender informed, and provide opportunities for reinforcing positive gender norms.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The project will also build on and complement other regional and national initiatives to mainstream environmental sustainability in development planning. While mainstreaming climate change imperatives at the national level is important, the project will also seek to strengthen and build mechanisms to enable mainstreaming at the local and community levels.

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the potential social and environmental risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for risks with moderate and high significance)?</p>		
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p><i>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</i></p>
<p>NO RISKS IDENTIFIED</p>	<p>I = P =</p>			
<p>QUESTION 4: What is the overall Project risk categorisation?</p>				
<p>Select one (see SESP for guidance)</p>				
<p>Low Risk <input checked="" type="checkbox"/></p>				
<p>Moderate Risk <input type="checkbox"/></p>				
<p>High Risk <input type="checkbox"/></p>				
<p>QUESTION 5: Based on the identified risks and risk categorisation, what requirements of the SES are relevant?</p>				
<p>Check all that apply</p>				
<p>Principle 1: Human Rights <input type="checkbox"/></p>				
<p>Principle 2: Gender Equality and Women's Empowerment <input type="checkbox"/></p>				
<p>Comments</p>				

					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>

Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalised groups?	N
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalised or excluded individuals or groups? ³	N
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalised individuals or groups?	N
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalised groups, from fully participating in decisions that may affect them?	N
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	N
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	N
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	N
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	N
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	N
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	N
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	N
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	N
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	N
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognised as such by authoritative sources and/or indigenous peoples or local communities?	N

³ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	N
1.4	Would Project activities pose risks to endangered species?	N
1.5	Would the Project pose a risk of introducing invasive alien species?	N
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	N
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	N
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	N
1.9	Does the Project involve utilisation of genetic resources? (e.g. collection and/or harvesting, commercial development)	N
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	N
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	N
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ⁴ greenhouse gas emissions or may exacerbate climate change?	N
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	N
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	N
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	N
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	N
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	N
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	N
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	N

⁴ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tonnes per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	N
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	N
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)?	N
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	N
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	N
4.2	Does the Project propose utilising tangible and/or intangible forms of cultural heritage for commercial or other purposes?	N
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	N
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	N
5.3	Is there a risk that the Project would lead to forced evictions? ⁵	N
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	N
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	N
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	N
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognised as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorised as either Moderate or High Risk.</i>	N
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC ⁶ on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	N

⁵ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

⁶ Free, prior and informed consent

6.5	Does the proposed Project involve the utilisation and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	N
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	N
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	N
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialisation or use of their traditional knowledge and practices?	N
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	N
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	N
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	N
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	N
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	N

