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PROJECT DOCUMENT

UNDP Multi-country Office for Barbados and the OECS

Project Title: Building Effective Resilience for Human Security in the Caribbean Countries: The Imperative of Gender Equality and Women Empowerment in a Strengthened Agriculture (and related Agri/Fisheries Small Business) Sector

Project Number: 00123955

Implementing Partner: This is Joint Programme funded by the UN Trust Fund for Human Security and will be implemented in Antigua and Barbuda, Barbados, Dominica, Grenada and Saint Lucia.

Start Date: March 2020

End Date: 30 September 2022

PAC Meeting date:

Brief Description

This project is built on the premise that there can be no improvement in human security in the Caribbean without addressing the issue of 'lost opportunities' and 'foregone achievement' that result from deep gender inequality and insufficient progress in the economic empowerment of women and marginalized youth. The objective is to inform and further strengthen the recently formulated Multi-Country Sustainable Development Framework (MSDF) for the Caribbean. The project will focus specifically on the agricultural sector (including fisheries) because of the significant role agriculture plays in Caribbean GDPs and food security. In addition, the agricultural sector is extremely vulnerable to disaster and climate change risk impact and is a sector where gender inequality is possibly most entrenched.

The project aims, through a combination of policy reform advocacy, technical support, and services to contribute to human security for farmers and small agro-and fisheries business entrepreneurs, many of whom are women. Three categories of beneficiaries will benefit from the project's activities through direct households and community support in Antigua & Barbuda, Barbados, Dominica, Grenada and Saint Lucia for a duration of 3-years. Small grant support will be offered for livelihoods development and will target approximately 2,500 farmers, fisherfolks and small-business entrepreneurs with at least 50% women and 25% under 40 years, reaching 12,500 people. Pilot and demonstration activities in areas of disaster preparedness and mitigation, climate change adaptation and value chain development will be implemented in 50 community groups, reaching 30,000 people. Through the policy reform and institutional strengthening contribution of the project, it will impact farming, fishing and agriculture fisheries sectors related small-business activities throughout the 14 CARICOM countries, positively impacting their livelihoods. Associated ministries and the National Gender Machineries and Focal Points will also become beneficiaries.

Successes from the project will provide major impetuses for a broader recognition of the priorities of gender equality and women empowerment for enhanced resilience, stronger economic growth, a more inclusive society and strengthened and human security.

Contributing Outcome (UNDAF/CPD, RPD or GPD):
 Marginalised groups, particularly the poor, women, people with disabilities and displaced are empowered to gain universal access to basic services¹ and financial and non-financial assets to build productive capacities and benefit from sustainable livelihoods and jobs
 Indicative Output(s) with gender marker²:
 GEN2

Total resources required:	160,500	
Total resources allocated:	UNDP TRAC:	160,500
	Donor:	160 500.00
	Government:	
	In-Kind:	
Unfunded:		

Agreed by (signatures)¹:

Government	UNDP	Implementing Partner
Print Name:	Print Name:	Print Name:
Date:	Date:	Date:

¹ Note: Adjust signatures as needed

² The Gender Marker measures how much a project invests in gender equality and women's empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)

I. DEVELOPMENT CHALLENGE (1/4 PAGE – 2 PAGES RECOMMENDED)

Even though poverty has declined, women's poverty has increased: according to the index of femininity of poverty, there are 121 indigent women for every 100 indigent men in Latin America and the Caribbean. 40% of rural women over the age of 15 do not have their own income, although they work on a daily basis – most of them in the agriculture, fisheries or related sector - but are unpaid. In addition, rural women in the region only have a fraction of the land, credit, productive inputs and education relative to men.

Although women throughout the Caribbean play important social and economic roles in the farming sector and could further increase their contribution, subject to there being a conducive and non-discriminatory policy environment, they continue to contend with a range of challenges from provision of household food security and nutrition to managing farm businesses at the scales needed for both domestic and export markets. As distinct from men in their households, women need support to balance both the earning and the non-earning aspects of their roles and responsibilities. Typically, their household, care and community activities, while important to the stability and sustainability of the economy, are not recognized in public policy. These challenges are particularly present and critical in the Caribbean region, in view of the high prevalence of female headed households.

Women in general own less land, farms and other forms of collateral than men and have less access to credit and other resources. Women also engage in specific jobs in the industrial production of bananas, cocoa and nutmeg, among others, although they earn less wages than men. They are involved significantly in agro-processing and small-scale agri- and fisheries business, through women's cooperatives and as individuals, but they often face barriers in scaling up production and engaging in national, regional and global markets. In the context of the economic downturns in the economies of the Caribbean countries, women's involvement in subsistence agriculture and in backyard gardens (both in urban and rural areas) has however been an important factor in ensuring food security and thus maintaining a level of human security in that respect.

A gender-responsive approach is thus needed to better position both men and women as equal players in agricultural and fisheries development, and as contributors to the well-being of their families and communities. Towards this end, women and men must have equal access to the information and resources that will enable them to make the correct choices and to engage in livelihood activities and markets on equal footing, as well as equal access to resources, post-harvest systems and technologies.

In Antigua & Barbuda, gender segregation in the agricultural labour force is evident in data, which reveal that men represent more than 70% of workers in the agriculture, hunting and forestry sector as compared to 30% of women. Further, of the registered farmers with the Central Marketing Cooperation, men comprise almost 80%. The actual participation of women in agriculture may be under-estimated due to the proximity of one's farm to the home, and the fact that women tend to engage in subsistence/backyard agriculture while maintaining responsibilities within the home. Meeting the country's household subsistence needs has been challenged by the economic downturn, and the issue of food security has become of utmost importance to the Government.

In Barbados, the agricultural labour force is highly gender-segregated. The ownership of farms is predominantly male, with approximately 80% being owned by men. Men account for 60% of skilled agricultural labourers and almost two-thirds of employees in agriculture, forestry and fishing. In comparison, many of the smallest farms and in particular subsistence plots are female-owned. Women's low ownership of land and farms constrains their access to credit in the agriculture, as well as in other productive sectors

For Dominica, agriculture contributes just under 20% to GDP, and is a major employer accounting for an estimated 30% of total employment. Males comprise 85% of skilled agricultural and fishery workers, compared to 15% of females. However, negative impacts of World Trade Agreements, devastating hurricanes, and increased production costs have resulted in a ten-fold decline in banana exports since 1990. Rural women have been particularly affected by the banana crisis, both directly as small banana farmers and as spouses/partners of banana farmers.

In Grenada, agriculture is one of the major productive economic sectors, consistently accounting for between 6-15% of the GNP per annum and employing just over 8% of the labour force in 2011. However, the country experienced a policy shift away from an agriculture-based economy due to the decline in the banana export market, and Hurricanes Ivan and Emily in 2004 and 2005, respectively, which devastated the nutmeg industry. But Government investments in 2011 and 2012 in cocoa and nutmeg have increased by over 100%. The agricultural labour force is highly gender-segregated. While men comprise the majority of labourers in Government and privately-owned crop farms by as much as 95%, women comprise the majority of workers in the cocoa and nutmeg factory houses where sorting and packing take place. Men also dominate livestock farming and fishing, while increasing numbers of women are entering poultry farming. Such gendered segregation impacts on the earning capacity of women in agriculture, as men are positioned in jobs where wages are higher. This translates further into men's and women's unequal access to assets/collateral to engage in agri-business, eco-tourism, etc.

St. Lucia, agriculture (including fisheries) is an important source of livelihood for about 20% of the population. St Lucia has been impacted by major tropical systems in 2002 (Lilee); 2004 (Ivan); 2005 (Emily); 2007 (Dean); 2012 (Ernesto) and 2017 (Irma and Maria). While women are least likely to hold land, they are in majority in agro-processing. However, especially for rural women, expansion of their production and sales is hampered because standards for international and regional export are not being met, as most products are produced in private homes and with only limited outreach by the national extension services.

II. STRATEGY (1/2 PAGE - 3 PAGES RECOMMENDED)

Agriculture and fisheries are important sectors for Caribbean economies because, notwithstanding recent shocks that have been faced, this sector continues to make an important contribution to GDP and employment and has the potential to further increase that contribution in the long-term, either directly or by supplying the tourism sector. It is an important source of foreign exchange. It fulfills multiple other functions, such as landscape conservation through stewardship and maintenance of natural resources and eco-system services. And it is a critical provider of food and nutrition security, of income opportunities and of social protection for rural communities. Because of these multiple contributions, the sector will undoubtedly remain important in the future, as will its challenges.

A robust, resilient and inclusive resilient agriculture, fisheries and agri-business sector is thus – and must remain - an important engine in the long-term for employment, for growth, for food security, for family well-being, for entrepreneurship and for poverty reduction in the Caribbean, and the substantial missing-out on opportunities because of gender discrimination needs thus to be urgently addressed and corrected. The sector is indeed clearly underperforming in the Caribbean and not making its full potential contribution to the Caribbean economies, and this also because women, who are often a crucial resource in agriculture and in the rural economy, face constraints that limit their participation in the sector and diminish their productivity. Some of these constraints include balancing.

Economic growth is a prerequisite for the reduction of poverty and for human security but is not sufficient by itself to achieve both those ultimate developmental objectives. For economic growth to lead to reduced poverty, people who live in poverty or in exclusion must have the possibility to participate, fully and on equal terms, in activities and in decision-making and thus not only to contribute to economic development, but also to be a decision-making participant in it and to profit from its results. In most countries, gender equality has increased with economic development, and economic development has increased with gender equality. This inter-linkage between the two is, in a nutshell, what this project is about. This link is of strategic importance to the Human Security paradigm. It provides a different - or additional - perspective on 'root causes' and 'logical frameworks' with respect to Human Security achievement.

Societies that increase women's access to education, health care, employment, and credit, and that narrow the differences between women and men in economic opportunities, have increased the pace of economic development and reduced poverty. Gender equality is hence both a cause and a consequence of economic growth. An active gender equality policy and pro-women positive discrimination should thus be seen as an important component in strategies for growth, for poverty reduction, for resilience and for human security.

Research also shows that a rigid gender division of labour leads to an allocation of households' resources, labour resources included, that does not necessarily follow economic incentives but rather socially established norms which dictate what is appropriate for men and women to do. It is gender norms, rather than economic rationale, which lead women to spend a much higher proportion of their time doing housework than men, or to restrict them to lower productivity jobs in agriculture or in the informal economy. Higher labour force participation by women results in higher output and hence higher GDP along with higher value of production due to higher earnings. As a result, gender equality contributes to a more inclusive pro-poor growth. And pro-poor growth contributes to stronger human security.

Increasing gender equality and more pronounced economic empowerment of women, especially young women, in households, markets and society at large contributes to increased growth and human security directly and indirectly. Directly, through increased income for family consumption and investment and indirectly, through improved health and education for children and the availability of more resources to Governments for human security related investment and services. Rigid gender roles and divisions of labour lead to economic inefficiencies, limiting growth and negatively impacting on poverty. Gender discrimination in the labour market leads thus to significant efficiency losses and, moreover, a loss in economic output that is primarily borne by women.

Growth as a result of higher gender equality in the labour market 'increases the size of the pie'. Gender equality is thus gaining ground as "smart economics" – a way to boost economic growth through increased human capital, labour force participation and enhanced productivity. Removing the barriers to equal inclusion of women in the labour market thus has positive effects for increasing the growth potential of countries.

Gender equality is thus not solely a fundamental human right but also essential for poverty reduction and sustained economic growth. Countries that improve the status of women and empower women to be as economically active as men, tend to have lower poverty incidence and stronger economic growth. Gender equality needs thus to be seen as a determinant of development effectiveness and thus of human security and this should have significant implications for the design of anti-poverty interventions as well as of pro-poor growth and resilience building strategies.

Closing gender gaps thus becomes a pillar in an effective strategy to promote growth, with growth not as an objective in itself but as an instrument for enhanced human security and resilience.

Few projects are currently taking place globally that resolutely set gender equality as the main project objective. OECD data on global ODA show that this represents only 5% of projects, with another 40% of projects having 'some' secondary gender objective. It is urgent to launch more interventions with an explicit 'gender equality' first objective, and thereby showcase - and provide the strong evidence base of - the more positive impact these projects achieve in contributing to resilience and human security.

Unfortunately, women across all ages continue in general to face major barriers. Businesses run by women (such as those in the agriculture and fisheries related sector) face major establishment hurdles and are frequently unable to respond to emerging economic opportunities, as regulations relating to the right of women to own assets, including land, and operate businesses in their own name prevent them from doing so. Informal barriers and costs and social rules governing women's behaviour and bargaining position also discriminate strongly against women's economic participation.

Those gender inequalities in access to economic incentives and productive resources reduce productivity and output. They prevent women from sharing in the benefits of production, even when they have done most of the work. Giving e.g. women farmers the same level of land tenure rights of the land, they work on as men (and thus an incentive to women to invest in productivity-enhancement) could increase, as per some studies and research, agricultural production in some countries by 20% and thereby make a huge contribution to national and regional food security.

Policy settings and regulatory frameworks often drive these fewer positive outcomes, driven by discriminatory social institutions that reproduce gender stereotypes and mind-sets that go against women, and this needs to be addressed sustainably through in-depth policy and legislation change.

The above provides the conceptual foundation for this project, which argues strongly that gender inequality and women disempowerment are one the main determinants of human insecurity.

The project thus aims, through a combination of policy reform advocacy and advice (targeting the entire Caribbean), as well as direct downstream support (in a group of countries) to up to 2,500 farmers and small agro- and fisheries business entrepreneurs and of whom the majority are women, to advance multi-faceted human security by focusing on the economic empowerment (of women) in the agriculture, fisheries and the agriculture-fisheries related small business sector.

By doing so, the project will lay the basis for the further up-scaling of the project's results after the three-year time frame, and the expansion of its innovative strategy to other sectors. Success expected to be achieved under this project will then provide a major impetus for a broader recognition of the priority of gender equality and women empowerment for enhanced resilience; for stronger economic growth; for a more inclusive society; and finally, for strengthened and sustainable human security.

By following a regional Caribbean approach and associating up to 14 Caribbean countries in the public policy and sector support strengthening aspects of the project, a valuable contribution will be made to broader awareness raising across the Caribbean on the subject of human security and on the link between human security and gender equality; to policy reform; and to the strengthening of collaboration, experience sharing and resource pooling among Caribbean countries with respect to country-specific and regional Human Security strategies and innovation therein.

III. RESULTS AND PARTNERSHIPS (1.5 - 5 PAGES RECOMMENDED)

Expected Results

The UNDP has responsibility for Output 3.7 of the joint programme, which is contained under Outcome 3: Increased market access readiness and resilience for smallholder farmers and agriculture related small businesses.

Output 3.7: Structural adjustment programmes reviewed and adjustments required, recommended and integrated.

Activity 3.7.1: Structural adjustment proposals and plans, impacting on small-scale farming and fishing and related small business, reviewed;

Activity 3.7.2: Advisory Notes prepared with proposed adjustments to mitigate negative impact on smallholder farmer, fisherfolk and small business, and on women farmers and small business entrepreneurs in particular;

Activity 3.7.3: Advocacy initiatives related to the recommended policy changes organized, and proposed changes effected;

Activity 3.7.4: National policies impacting farming reviewed;

Activity 3.7.5: Advisory Notes prepared with adjustments recommended in order to mitigate negative impacts on smallholder farmers, fisherfolk and small business, and on women farmers, fisherfolk and small business entrepreneurs in particular;

Activity 3.7.6: Advocacy initiatives related to the recommended policy changes organized, and (possibly) resulting in the adoption of the proposed adjustments.

Partnerships

As a Joint Programme, the UNDP project will be executed in the context of the wider programme and UNDP will work directly with the UNST, including with lead agencies PAHO and UN Women, as well as the RCO, to coordinate activities and deliver results efficiently.

Risks and Assumptions

See Annex 3: Risk Log

Stakeholder Engagement

There are three main groups of stakeholders and beneficiaries. First, small grant support for livelihoods development will be geared towards a target group of approximately 2,500 farmers, fisherfolk and those sectors-related small business entrepreneurs in Antigua and Barbuda, Barbados, Dominica, Granada and Saint Lucia (the five focus countries for direct support under the project) and with at least 50% of them women and at least 25% under forty years of age. As such 12,500 people will be reached through such support, based on an average family size of five.

Second, the project will work with about 50 community groups (10 in each of the five focus countries). Pilot and demonstration activities, in the area of disaster preparedness and mitigation as well as climate change adaptation and value chain development, will be implemented in - and with - those communities, and this on the basis of an integrated and Human Security focused community action plan elaborated jointly with these communities. Communities will be assisted through the groups they will have organized themselves prior to the project or through the project. With an average of 120 families per community, the estimated beneficiary population of these project activities is about 30,000.

Third, through the policy reform and institutional strengthening contribution of the project, its impact will potentially extend to all farming, fishing and agriculture and fisheries sector related small business activities throughout the 14 Caribbean CARICOM member countries and with a particular focus on women farmers, fisherfolk and small business entrepreneurs. If 30% of those currently or potentially deriving a livelihood from these sector activities can be positively impacted by the reforms and support systems improvement pursued under the project, and with agriculture and fisheries sector related employment about 10% to 15% in the 14 countries (with a total population of about 3 million), the population positively impacted in their livelihood activities through these project activities and outputs is estimated at 120,000.

Ministries who will be associated and advised in the context of the project (Agriculture, Small Business, Trade, Finance, Planning, etc.) and the national Gender Mechanisms and Focal Points will also, through the policy and institutional support activities of the project, become project beneficiaries (as well as project partners). Such cross-ministerial involvement in the project will help to anchor strongly the human security concerns and considerations in a Whole-of-Government approach.

IV. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)

Cost Efficiency and Effectiveness

As part of a Joint Programme, the UNDP project will employ a portfolio management approach to improve cost effectiveness by leveraging activities and partnerships with other activities within the wider JP. Similarly, cost savings will be realised through joint operations including monitoring or procurement with the other JP partners.

V. RESULTS FRAMEWORK²

² UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:												
CPD Indicator: 3.1.2. No. of new jobs and livelihoods created for women through sustainable management of natural resources.												
Baseline: 0												
Target: 100 (Dominica, Grenada, St. Kitts and Nevis)												
Applicable Output(s) from the UNDP Strategic Plan: 1.1.2 Marginalised groups, particularly the poor, women, people with disabilities and displaced are empowered to gain universal access to basic services³ and financial and non-financial assets to build productive capacities and benefit from sustainable livelihoods and jobs												
Project title and Atlas Project Number: 00123955												
Portfolio/Project Title: Building Effective Resilience for Human Security												
EXPECTED OUTPUTS	OUTPUT INDICATORS ⁴	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year ...	FINAL		
Output 3.7: Structural adjustment programmes reviewed and adjustments required, recommended and integrated.	Activity 3.7.1: Review of Structural adjustment proposals and plans, impacting on small-scale farming and fishing and related small business available including Advisory Notes with proposed adjustments to mitigate negative impact on smallholder farmer, fisherfolk and small business, and on women farmers and small business entrepreneurs in particular available	UNDP	NO	YES							YES	Structural Review Documents and Advisory Notes
	Activity 3.7.3: Number of advocacy initiatives related to the recommended policy changes organized	UNDP	0	TBD							TBD	Quarterly Reports

³ Basic services include social services (e.g. health and nutrition, education, water and sanitation, social housing, vocational training), economic services (including finance), environmental and energy services (e.g. renewables, clean fuels and technology, use of natural resources), and other services (e.g. rule of law and justice). Please note that

	1.4 Activity 3.7.4: Review of National policies impacting farming available inclusive of Advisory Notes prepared with adjustments recommended in order to mitigate negative impacts on smallholder farmers, fisherfolk and small business, and on women farmers, fisherfolk and small business entrepreneurs in particular;	UNDP	NO	YES						YES	National Policy Review and Advisory Notes
	2.2 Activity 3.7.6: Number of advocacy initiatives related to the recommended policy changes organized	UNDP	0	TBD						TBD	

UNDP focuses primarily on policies and capacities that improve the enabling environment for provision of basic services.

⁴ It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: *[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		N/A
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		N/A
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		N/A
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		N/A
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		N/A

Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			N/A
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		N/A

VII. MULTI-YEAR WORK PLAN

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Budget 2020	RESPONSIBLE PARTY	PLANNED BUDGET		
				Funding Source	Budget Description	Amount USD
Output 1: <i>Structural adjustment programmes reviewed and adjustments required, recommended and integrated</i> <i>Gender marker:2</i>	1.1 Activity Consulting Team to: a) Develop a methodology and undertake a gender responsive study of the impact of structural adjustment proposals and plans in the agriculture and fisheries sector in the 5 participating countries with a focus on women farmers and related small business entrepreneurs in particular	40 000	UNDP	UN Trust Fund for Human Security		40 000.00
	b) Using the findings and recommendations of the impact and economic study, prepare Advisory Notes for use by National Partners. The Advisory Notes will be used to support advocacy activities of National Partners in their efforts to mitigate negative impacts of structural adjustment programmes on smallholder farmers, fisherfolk and small business, with a focus on women farmers and related small business entrepreneurs	5 000	UNDP	UN Trust Fund for Human Security		5 000

	c) Government to implement advocacy/awareness building activities using Advisory Notes prepared on the impact of Structural Adjustment programmes, with a goal of initiating/supporting policy change		UNDP	UN Trust Fund for Human Security			
	MONITORING						
	Subtotal Output 1:					45 000.00	
Output 2: <i>Structural adjustment policies reviewed and adjustments required, recommended and integrated</i> <i>Gender marker:2</i>	2.1 Activity Consultancy Team to:	80 000				80 000.00	
	a) Undertake assessments of National policies impacting farming in 5 participating countries, with a focus on the negative impacts on small holder farmers, fisherfolk and small business, and on women farmers, fisherfolk and small business entrepreneurs in particular		UNDP	UN Trust Fund for Human Security			
	b) Using the findings and recommendations of the policy assessment, prepare Advisory Notes for use by National Partners. The Advisory Notes will be used to support advocacy activities of National Partners in their efforts to catalyse the revision of relevant policies related to smallholder farmers, fisherfolk and small business, with a focus on women farmers and small business entrepreneurs	10 000.00		UNDP	UN Trust Fund for Human Security		10 000.00
	c) Government to implement advocacy/awareness building activities using Advisory Notes prepared on the impact of Structural Adjustment policies, with a goal of initiating/supporting policy change			UNDP	UN Trust Fund for Human Security		
	MONITORING						
	Subtotal Output 2	90 000.00				90 000.00	
Evaluation (as relevant)	EVALUATION						
Total Programmable Budget						135 000.00	

Direct Project Costs	10%					15 000.00
General Management Support	7%					10 500.00
TOTAL						160 500.00

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Overall UNTFHS Governance Structure

The Barbados-based (servicing OECS countries) Resident Coordinator will assume overall project coordination responsibility (liaising in this, as required, with his/her other Caribbean-based colleagues Resident Coordinators).

This is a critically important coordination function, not only to facilitate a fully coordinated UNTFHS project implementation against immediate output targets, but also to contribute to the achievement of the strategic project goals. It is through this coordination that crucial support will be provided, drawing on the inputs of partner Agencies and the Project Management Unit, towards the achievement of the following key project goals:

- (a) the formulation of a Development Goals ('Indicators and Targets') list integrating Human Security Goals, Sendai Framework Goals, Resilience Goals, SAMOA Pathway Goals and Human Security Goals and which will form the reference tool for prioritizing, for planning and for monitoring Human Security targeting strategies, plans and actions;
- (b) the mainstreaming of the Human Security approach across the national development planning strategies and actions, as well as within the UN and individual Agency strategies for the Caribbean;
- (c) the generation of growing partnerships - in support of the Human Security Agenda - beyond governmental and UN actors; and
- (d) the development, with the participation of all concerned, of a comprehensive up-scaling strategy and plan of action at the end of this project.

To perform these functions, the Resident Coordinator, liaising closely with peers in the four other Caribbean RC Offices, will maintain a close dialogue with national leadership and with development planning and aid coordination ministries (directly, in OECS countries, and through his colleagues with respect to the other participating countries).

Through the RC's leadership and initiative, an update and discussion on the UNTFHS project, in particular with respect to its strategic objectives, will be placed systematically on the agenda of all regular Caribbean regional RC(O) meetings taking place.

UNDP will attend Project Steering Committee Meetings as a co-implementing agency, as per the following:

The two project co-lead Agencies; the two co-implementing Agencies; the other Partner Agencies (who will also attend the Project Steering Meetings); other Partners; and the Project Management Unit will support the Resident Coordinator in pursuing the above important strategic objectives of which the key result should be in particular, at the end of the 3-year project, a strategy and action plan, fully owned by national partners, for a comprehensive, multi-year and high-impact Human Security approach for the Caribbean, for which the pillars and the key actions are fully integrated and resourced in the national development plans of the countries concerned.

Individual agencies, through their close participation in these efforts, will be able to prepare the necessary adjustments to their country programme strategies to reflect a stronger Human Security focus, so as to be solid partners, in the areas of their expertise and mandates, to the countries concerned of the region in the design and implementation of these countries' Human Security strategies and action plans.

The Steering Committee will, in addition assume a project oversight function. In that function, the Committee will be mandated to review - and endorse or adjust - the project work plan prepared by the Project Management Unit, and to raise any relevant project issues for deliberation and decision-making.

The Project Management Unit will be co-managed by UN-Women and FAO, and a full-time team will be assigned to the Unit. Co-Implementing Agencies (and Partner Agencies) will interface with the Project Management Unit with respect to project implementation issues, work planning; the assignment of resources in support of the project; and problem solving linked to their specific areas of expertise and responsibility with the HSTF project.

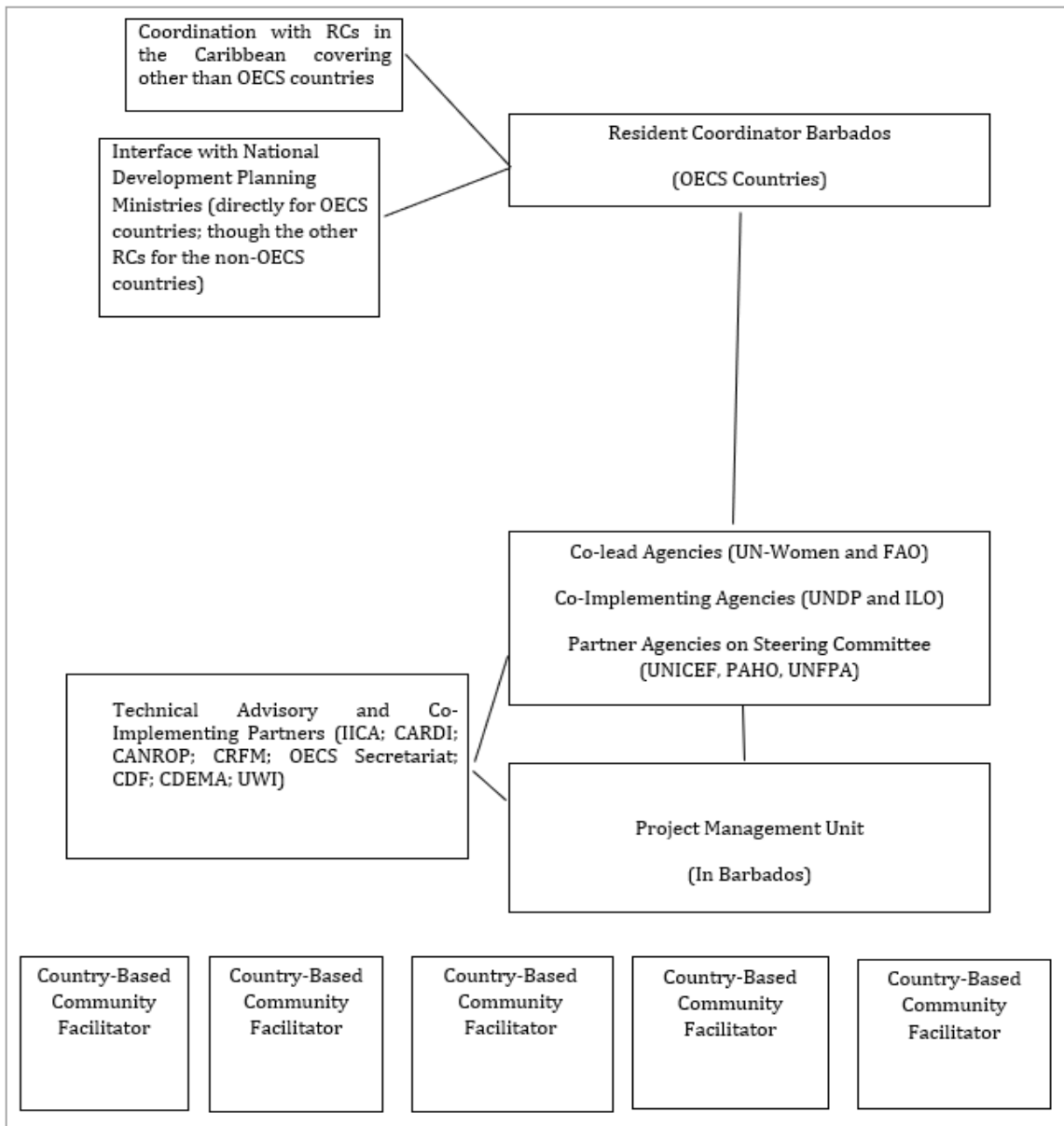
The unit will initiate project planning and implementation, under the oversight of the Steering Committee. The project work plan will be subject to discussion in – and approval or adjustment by – the Steering Committee.

National implementing and non-implementing partners (ministries; civil society; media; research institutions; centres of excellence) will, with respect to their contribution to direct project output implementation, interface directly with the Project Management Unit. Their contribution to – and participation in - the joint, multi-partner review and discussion of the progress towards the achievement of strategic objectives will be at the level of the Steering Committee.

The project has made a provision for the assignment of community facilitators in the 5 focus countries of the project (as these are the countries where substantial group organization; livelihoods training; disaster prevention and preparedness assessment and training; direct support, pilot and demonstration activities, etc. will take place). These facilitators will report directly to the Project Management Unit, and the latter will be the first source for support, technical advice and back-stopping to these facilitators.

In each participating country, a Focal Point will represent the government in the project. She or he will be selected from within the development planning or aid coordination ministry and will be the Government representative in the Steering Committee meeting (face-to-face where possible; otherwise through video-conference). Two additional co-focal points will be appointed, representing respectively the national Gender Machinery and civil society. All three focal and co-focal points will participate in the country-specific Steering Committee meetings (see below).

Project Management arrangements:



Project Steering Committee

The strategic goal of the project, which is to lay the ground for a more comprehensive, long-term Human Security Strategy for the Caribbean through the cross-cutting mainstreaming of the Human Security concepts in national development planning, requires a steering process (the Project Steering Committee) at regular intervals, so as to take stock whether – in addition to the progress in delivering the immediate outputs of the project – there is progress towards achieving these strategic project objectives in support of an expanded and fully mainstreamed Human Security strategy in the Caribbean; what challenges are being faced; and what adjustments in the action plans may be required.

As this meeting will focus on strategic issues, participation will consist of the Resident Coordinator (with, as may be required, her/his colleagues connecting on-line if not present in-country); the UN Agencies (Lead, Co-Implementing and Partner); the Project Management; the National Focal Points (representing the national development planning and aid coordination offices); and donor and other co-implementing partners as the agenda requires.

To ensure a pro-active and comprehensive steering also of immediate output related project activities at individual country level, and to make sure there is a forum for strong beneficiary and community

participation in the steering process, a bi-annual Steering Committee meeting will be held in each of the five focus countries. Participation in these meetings will be the three national focal points in the country; representatives of the beneficiary community groups in the country; in-country project co-implementing partners; the Project Management Unit; and agency partners (if not in-country, connecting on-line).

The focus of these national Steering Committees will be on a dialogue with the communities, for a joint review of progress in relation to the direct output related project activities; an assessment of the progress in the internalization of Human Security concepts; and a discussion whether and where action plans need to be adjusted to ensure the full achievement of planned outputs.

Strategic issues raised during those meetings will be brought up to the quarterly project-wide Steering Committee meeting(s), and strategic issues raised at the national Steering Committee meetings will similarly be brought up to the Project-wide Steering Committee.

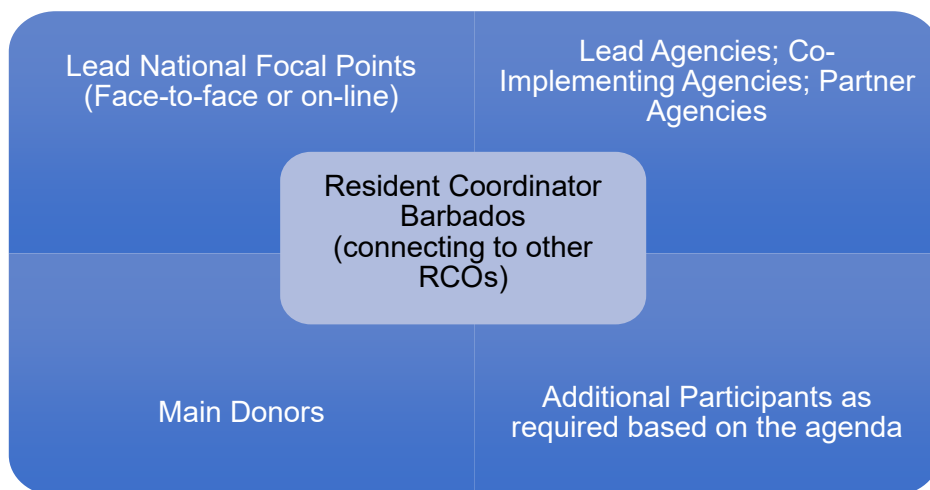


Figure 2: Quarterly Project Steering Committee Meeting

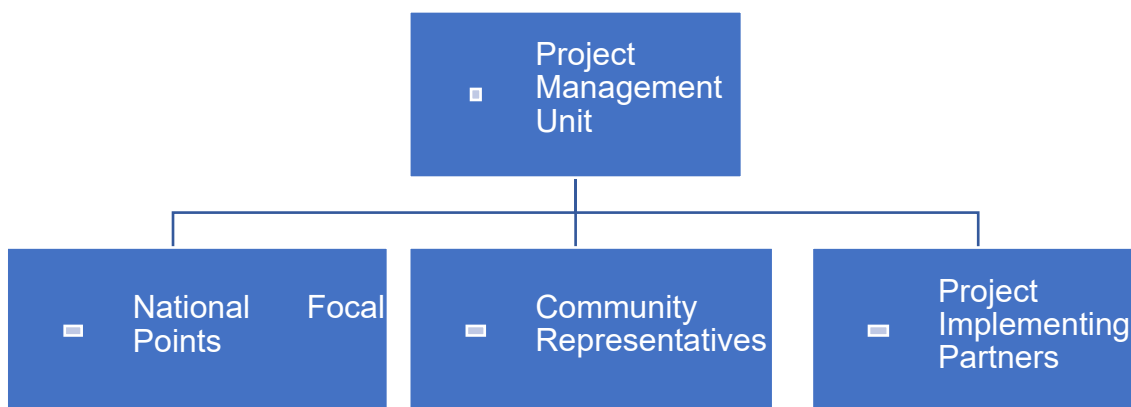


Figure 3: Quarterly Steering Committee Meetings in Focus Countries (Antigua and Barbuda, Barbados, Dominica, Grenada and Saint Lucia)

IX. LEGAL CONTEXT

For Global and Regional Projects

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 to the Project Document 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. All references in the SBA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by [name of entity] (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

X. RISK MANAGEMENT

UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]⁵ [UNDP funds received pursuant to the Project Document]⁶ 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/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism.

⁵ To be used where UNDP is the Implementing Partner

⁶ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
 - a. Consistent with the Article III of the SBAA [*for the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - i. 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;
 - ii. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
 - b. 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 the responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
 - c. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.
 - d. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
 - e. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

- f. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- g. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- h. *Choose one of the three following options:*

Option 1: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Option 2: Each responsible party, subcontractor or sub-recipient agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Option 3: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the

recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- i. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- j. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- k. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

XI. ANNEXES

1. **Project Quality Assurance Report**
2. **Social and Environmental Screening Template** [\[English\]](#) [\[French\]](#) [\[Spanish\]](#), including additional Social and Environmental Assessments or Management Plans as relevant.
(NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country level activities).
3. **Risk Analysis.** Use the standard [Risk Register template](#). Please refer to the [Deliverable Description of the Risk Register](#) for instructions
4. **Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)
5. **Project Board Terms of Reference and TORs of key management positions**

Annex 2: Social and Environmental Screening

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the Social and Environmental Screening Procedure and Toolkit for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	Building Effective Resilience for Human Security in the Caribbean Countries: The Imperative of Gender Equality and Women Empowerment in a Strengthened Agriculture (and related Agri/Fisheries Small Business) Sector
2. Project Number	00123955
3. Location (Global/Region/Country)	Antigua and Barbuda, Barbados, Dominica, Grenada, Saint Lucia (Joint Programme with UNWomen, FAO, ILO, UNDP)

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

The project has been designed using the human security approach, which is based on the human rights based approach. The project is built on the premise that there can be no improvement in human security in the Caribbean without addressing as a major - if not first - priority the issue of 'lost opportunities' and 'foregone achievement' that result from deep gender inequality and insufficient progress in the economic empowerment of women. These not only have a major direct impact on personal and family security, but also a very substantial indirect impact on human security as a result of missed family and national incomes, and which thus leads to reduced government resources for investment in human security related services and public goods. This project purposely places gender equality at the top of resilience and Human Security strategies. It innovates in aiming to demonstrate clearly that addressing this gender inequality comprehensively and investing in women empowerment is a first-choice enabler of substantial and sustained improvements in human security. The project will generate evidence-based proof that gender equality and the women empowerment objectives need to be placed at the forefront of every Human Security strategy. And that building an inclusive, equitable, prosperous, healthy, cohesive, safe, just, sustainable and thus resilient Caribbean - the priority goals of the 'One UN' Strategy for the Caribbean - cannot be achieved without fully achieving gender equality and women empowerment. A comprehensive, participatory and context-specific approach will be followed.

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

As mentioned above women's equality is the focus of the work of the project. The project activities in the full joint programme are specifically geared towards addressing multiple issues of gender equality and women empowerment in one sector: agriculture, including fisheries and related small business. This sector, also directly linked to the tourism sector (the main contributor to the Caribbean countries' economy), is key for long-term human security in the Caribbean. The project will address the multi-dimensionality of gender equality issues in the agriculture sector: unequal access to land and land/business ownership; discrimination in access to resources, extension services, finance and insurance; neglected disaster and climate change proofing of women livelihoods in this sector; and gender-blindness, in varying degrees, of public policy and of existing or planned structural adjustment programmes.

Specifically to UNDPs activities, women’s equality will be addressed through gender responsive impact assessments of structural adjustment policies and programmes on the agriculture sector including fisheries and related small businesses. The impact on women in these areas will be of particular focus, and gender responsive advisory notes developed and implemented in advocacy based activities, which support recommended policy and programmatic change.

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

Overall the project supports sustainable development in the agriculture sector. UNDP specific activities will not direct environmental sustainability directly, but will ensure not to support activities which will lead to environmental damages.

Part B. Identifying and Managing Social and Environmental Risks

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>	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>			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)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	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.
Risk 1:	I = P =			
Risk 2	I = P =			
Risk 3:	I = P =			
Risk 4:	I = P =			
[add additional rows as needed]				
QUESTION 4: What is the overall Project risk categorization?				
Select one (see <u>SESP</u> for guidance)			Comments	
<i>Low Risk</i>			<input checked="" type="checkbox"/>	There are no known social and environmental risks posed by the project

	Moderate Risk	<input type="checkbox"/>	
	High Risk	<input type="checkbox"/>	
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
	Check all that apply		Comments
	Principle 1: Human Rights	<input type="checkbox"/>	
	Principle 2: Gender Equality and Women's Empowerment	<input type="checkbox"/>	
	1. Biodiversity Conservation and Natural Resource Management	<input type="checkbox"/>	
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>	
	3. Community Health, Safety and Working Conditions	<input type="checkbox"/>	
	4. Cultural Heritage	<input type="checkbox"/>	
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input type="checkbox"/>	
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
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.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

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 marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁷	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
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?	No
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?	No
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?	No
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>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		

⁷ 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.

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>	No
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 recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
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)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
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>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
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>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ⁸ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
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>	No
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?	No
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)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No

⁸ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
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)?	No
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?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
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)?	No
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)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
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)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ⁹	No
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?	
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
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 recognized 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 categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No

⁹ 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.

6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
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?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
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?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
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>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

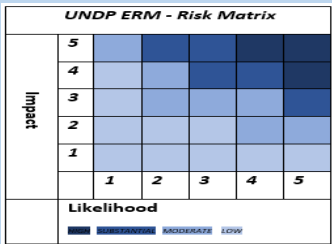
Annex 1. ERM Risk Categories

1.Social and Environmental	2. Financial	3.Operational	4.Organizational	5. Political	2.Regulatory	7. Strategic	8. Safety and Security
1.1. Human rights 1.2. Gender 1.3. Biodiversity and use of natural resources 1.4. Climate change and disaster 1.5. Community health and safety 1.6. Labour conditions/standards 1.7. Cultural heritage 1.8. Rights of Indigenous Peoples 1.9. Displacement and resettlement 1.10. Pollution and resource efficiency 1.11. Stakeholder engagement 1.12. Sexual exploitation and abuse	2.1. Cost recovery 2.2. Value for money 2.3. Corruption and fraud 2.4. Fluctuation in credit rate, market, currency 2.5. Delivery	3.1. Alignment with national priorities 3.2. Responsiveness to lessons learned and evaluations 3.3. Leadership & management 3.4. Flexibility and opportunity management 3.5. Synergy potential (linking with other initiatives as relevant) 3.6. Reporting and communication 3.7. Partnership 3.8. Capacity development of national partners 3.9. Engagement of national partners in decision-making 3.10. Transition and exit strategy 3.11. Occupational safety, health and well-being	4.1. Governance 4.2. Monitoring 4.3. Independence and quality of evaluation 4.4. Knowledge management 4.5. Grievances 4.6. Due diligence of private sector partners 4.7. Human Resources 4.8. Budget availability and cash flow 4.9. Internal control 4.10. Procurement 4.11. Innovating, piloting, experimenting,	5.1. Government commitment 5.2. Political will 5.3. Political instability 5.4. Change/turnover in government	6.1. Changes in the regulatory framework within the country of operation 6.2. Changes in the international regulatory framework affecting the whole organization 6.3. Deviation from UNDP internal rules and regulations	7.1. Theory of change 7.2. Alignment with UNDP Strategic priorities 7.3. Capacities of the partners 7.4. Roles and responsibilities among partners 7.5. Code of conduct and ethics 7.6. Public opinion and media 7.7. Synergy with UN / Delivery as One	8.1 Armed Conflict 8.2 Terrorism 8.3 Crime 8.4 Civil Unrest 8.5 Natural Hazards 8.6 Manmade Hazards

ANNEX 3: Offline Project Risk Register Template

A. Offline Project Risk Register for Project Document Template

Project Title:	Project Number:	Date:
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#	Description	Risk Category	Impact & Likelihood = Risk Level	Risk Treatment / Management Measures	Risk Owner
	<p>Enter a brief description of the risk. Risk description should include future event, cause and effects.</p> <p>Risks identified through HACT, SES, Private Sector Due Diligence, and other assessments should be included.</p>	<p>Social and Environmental Financial Operational Organizational Political Regulatory Strategic Safety and Security</p> <p>Subcategories for each risk type should be consulted to understand each risk type (see Enterprise Risk Management Policy)</p>	<p>Describe the potential effect on the project if the future event were to occur.</p> <p>Enter likelihood based on 1-5 scale (1 = Not likely; 5 = Expected)</p> <p>Enter impact based on 1-5 scale (1 = Negligible; 5 = Extreme)</p> <p>Based on Likelihood and Impact, use the Risk Matrix to identify the Risk Level (High, Substantial, Moderate or Low)</p> 	<p>What actions have been taken/will be taken to manage this risk.</p>	<p>The person or entity with the responsibility to manage the risk.</p>
1	<p>Due to the sensitive nature of structural adjustment policy and programme development and implementation there is a chance that advocacy activities will not be successful, and recommendations for change not accommodated</p>	<p>Strategic</p>	<p>P =3 I = 2</p>	<p>Making sure to work with government as much as possible throughout the consultancies so that recommendations are relevant and achievable</p>	<p>Cluster Lead/JP Coordinator</p>
2	<p>The COVID-19 Pandemic may result in delays due to shifting government priorities, national capacity challenges or other difficulties with project implementation.</p>	<p>Strategic</p>	<p>P =5 I = 5</p>	<p>The UNST will work with Government, stakeholders and the SI Secretariat to determine the most effective way to support the national COVID-19 by adjusting activities/repurposing funds in line with the donor rules.</p>	<p>Cluster Lead/JP Coordinator</p>

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