



**PROJECT DOCUMENT**  
*[People's Republic of China]*

**Project Title:** Knowledge Sharing, Capacity Building and Supporting Service Programme on Sustainable Procurement of UN/International Organisations

**Project Number:** 00126281

**Implementing Partner:** China International Center for Economic and Technical Exchanges

**Start Date:** 01/07/2021

**End Date:** 30/06/2026

**PAC Meeting date:** 15/06/2021

**Brief Description**

The 2030 Agenda for Sustainable Development, with its 17 sustainable development goals (SDGs) and 169 targets outlines a grand blueprint for global development to 2030. The UN system fully adopted the SDGs as its compass, advocating and working towards an inclusive, just and green development. Countries have been integrating the SDGs in their national priorities and strategies. China's recognition of the importance of the 2030 Sustainable Development Agenda is exemplified by its multiple efforts, achievements and commitments, not last the recent pledge to peak emissions by 2030 and to become carbon neutral by 2060.

As China strives towards a low carbon path, this project aims to tackle Chinese carbon footprint by advocating and encouraging sustainable procurement, launching a concerted push to align China's procurement to sustainable best practices. In addition, the project aims to level the playing field for small and medium enterprises (SMEs) and women-owned businesses (WOBs), by increasing their access to international organizations procurement including the UN. SMEs and WOBS are particularly hindered in participating in sustainable procurement by capacity and information deficits and limited access to support services.

The United Nations Development Programme (UNDP), the United Nations Office for Project Services (UNOPS), the China International Center for Economic and Technical Exchanges (CICETE) of China's Ministry of Commerce, Shanghai Qingpu District People's Government, and Shanghai Glorious Investment Development Co. Ltd. have thus agreed to jointly launch the "Knowledge Sharing, Capacity Building and Supporting Service Programme on Sustainable Procurement of UN/International Organisations".

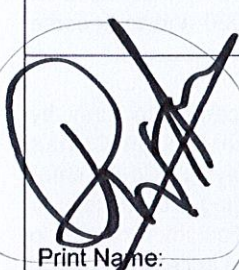
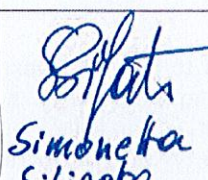
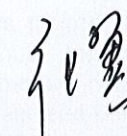
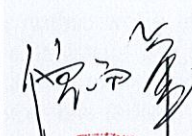

The project will facilitate the establishment of a platform for international procurement services, information sharing and capacity building in Shanghai's Qingpu District. This will lay the groundwork for a long-term institutionalized arrangement to be put in place with the support of the government, building a cluster for procurement services.

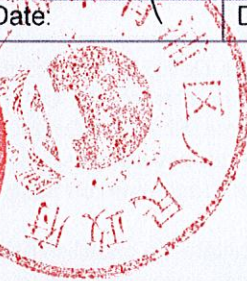
The project will also enhance the capacity enterprises, especially SMEs and WOBS to directly participate in international procurement, embedding a gender-responsive approach across the whole project. Activities will include training, seminars, capacity development sessions and the development of networks for procurement and support services, leveraging UN system's partnerships and conveyor capacity.

The project is expected to be a pilot for similar initiatives to be scaled up, supporting similar capacity building projects in other countries and regions. Through aligning businesses practices to sustainable ones, this will help achieving the SDGs across the globe by 2030.

<p>Contributing Outcome:</p> <p><i>UN Sustainable Development Cooperation Framework for People's Republic of China (2021-2025): Priority 3 Partnership: Achieving Open Development / Outcome 5: China's international financing, investments and business engagements, including through connectivity initiatives, programmes and projects, contribute to SDG attainment in partner countries.</i></p> <p><i>UNDP CPD output 3.2: National capacities strengthened to design and deliver evidence-informed development and humanitarian assistance.</i></p> <p>Gender Marker<sup>1</sup>: 2</p>	<b>Total resources required:</b>	\$8,624,000	
	<b>Total resources allocated:</b>	\$8,624,000	
		<b>UNDP TRAC:</b>	
		<b>Government:</b>	\$5,614,000
		<b>In-Kind/ Parallel Fund:</b>	\$3,010,000
<b>Unfunded:</b>			

Agreed by (signatures)<sup>1</sup>:

UNDP	UNOPS	CICETE	Shanghai Qingpu District People's Government	Shanghai Glorious Investment Development Co., Ltd.
				
Print Name:	Print Name:	Print Name:	Print Name:	Print Name:
Date:	Date:	Date:	Date:	Date:



<sup>1</sup> Note: Adjust signatures as needed

<sup>2</sup> 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 principal objective); GEN2 (gender equality as a significant objective); GEN1 (limited contribution to gender equality); GEN0 (no contribution to gender quality).

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## I. DEVELOPMENT CHALLENGE

### Development Context

The world's governments unanimously adopted the *2030 Agenda for Sustainable Development* which identifies 17 sustainable development goals (SDGs) and 169 targets in September 2015. The Agenda outlines a grand blueprint for global development in the coming 15 years. Since 2015, most countries have actively integrated the Agenda with national strategies and plans.

The UN plays a vital and indispensable role in protecting global peace, promoting global economic and social development while protecting the environment, with the SDGs as a compass. The United Nations Development Programme (UNDP) has been a leading development agency in the United Nations (UN) system for nearly half a century, and the largest multilateral agency for technical assistance in the world. UNDP is committed to promoting sustainable development, supporting countries to eradicate poverty, reduce inequalities and exclusion within planetary boundaries. It works in more than 170 countries and territories to help coping with global and domestic development challenges. Since entering China in 1979, UNDP has implemented more than 900 projects in China, covering areas such as agriculture, industry, energy, public health, poverty reduction and economic reconstruction. These projects have made tremendous contribution to China's economic and social development.

The United Nations Office for Project Services (UNOPS) is an operational arm of the United Nations. It implements more than \$2 billion worth of peace and security, humanitarian and development projects every year, operating in more than 80 countries. UNOPS, as a central resource for the UN system in procurement, is the host agency of the United Nations Global Marketplace (UNGM), which is responsible for managing and operating the UN procurement website and database, with above 300,000 registered vendors globally. UNOPS also manages an e-commerce platform, the "UN Web Buy Plus" and is entrusted for compiling and publishing the *Annual Statistical Report on United Nations Procurement* (UN ASR) on behalf of the whole UN. In public procurement, UNOPS has over 20 years of experience and expertise in sectors such as infrastructure and health. Since 2016, UNOPS has been recognised by the Chartered Institute of Procurement and Supply (CIPS) as a leader in Sustainable Procurement. In July 2018, UNOPS was awarded the Gold Standard Award in the CIPS Sustainable Procurement Review for the third time in a row, making it the only organisation worldwide that has achieved this honour, and further highlighting UNOPS leadership position as a central procurement resource for the UN system.

China recognizes the relevance of the 2030 Sustainable Development Agenda. In September 2016, the Government released the China's National Plan on Implementation of the 2030 Agenda for Sustainable Development, which clarifies the overall principle and implementation path and elaborates the specific plan to work towards the SDGs. Furthermore, the carbon neutrality pledge announced by President Xi in September 2020 at the UN General Assembly is a game changer with significant ramifications for the future economic and social policies in China – and beyond. China aims to peak its emissions by 2030 and to become carbon neutral by 2060.

### Development challenges

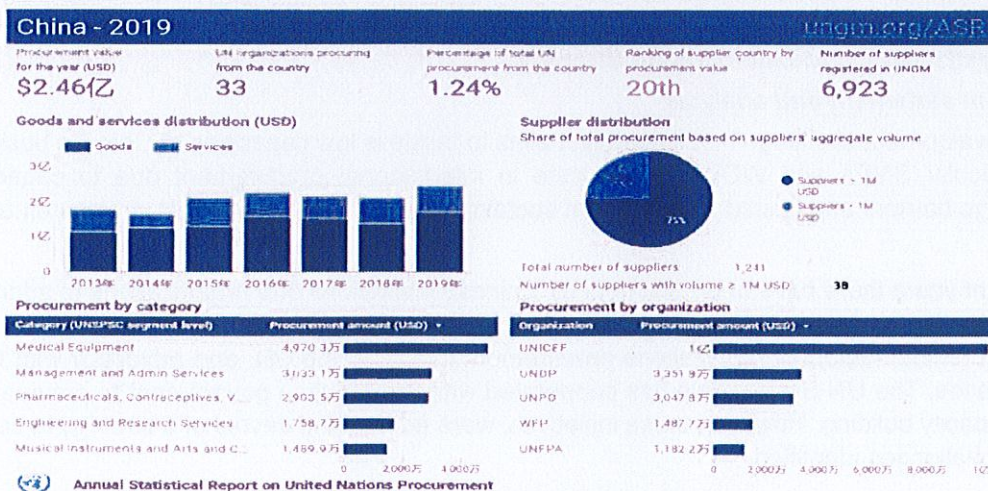
In the context of China's commitment to contribute to the SDGs, and the pledge to meet the carbon neutrality pledge, both of which are encapsulated in the 14<sup>th</sup> Five Year Plan for 2021-2025 this project would address the following developmental challenges:

First, as one of the largest manufactures in the world and the major trading partner to 128 countries, China has enormous potential to reduce its carbon footprint by adopting and advocating for sustainable procurement. However, there is no concerted push to adapt sustainable procurement practices in its procurement practices, which has taken on a renewed urgency in the context of the 2060 carbon neutrality pledge.

Second, there are barriers for small and medium enterprises (SMEs) and women-owned businesses (WOB) to participate and fully avail the opportunities afforded by China being a major trading partner. This is because of the market being dominated by large businesses with high capacities, while SMEs and WOBs are left behind due to language barriers and gaps in meeting international procurement standards.

Third, Chinese businesses, in particular SMEs and WOBs, lack the capacity to participate in procurement processes of international organizations, including the United Nations. As per the *Annual Statistical Report on United Nations Procurement*, in 2019, UN organizations directly procured \$246 million worth of goods and services in China, which accounted for 1.24% of the global UN procurement volume. China ranked 20th among UN global suppliers. A large proportion of these Chinese products is sourced to the UN through third parties, which creates several challenges to UN organizations: a) UN organizations are unable to fully benefit from the comparative advantages of Chinese products; b) procurement through a third party does not only lead to higher costs and less efficiency for UN organizations, but poses multiple risks and challenges, such as fraud, lack of timely updates on latest local market intelligence, difficulty in having cost-effective procurement, and supply chain management; and c) UN Women estimates that less than 1% of WOBs globally have entered the UN procurement market and were successful. This share is even smaller in China.<sup>2</sup> As a result, in 2017 UN Women has issued guidelines to promote gender equality in procurement, specifying the market challenges confronting female entrepreneurs and measures that need to be taken to address the challenge.

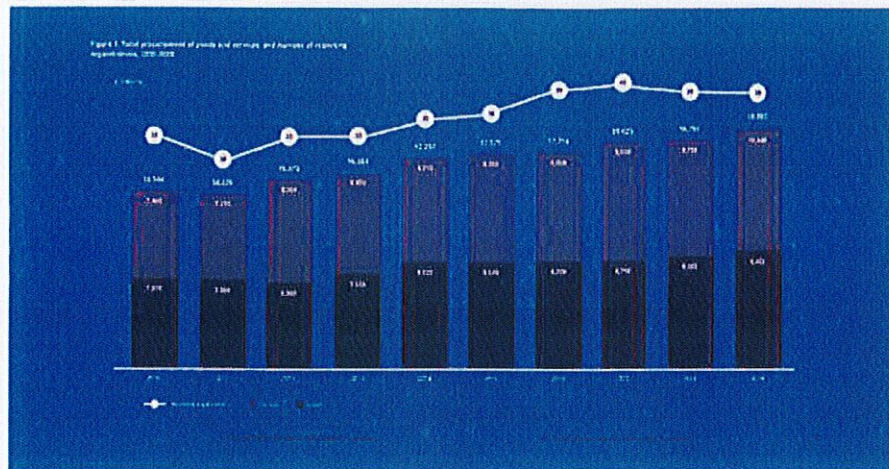
Fourth, UN procurement is only a small fraction of international public procurement, which includes other international organizations (e.g., the International Committee of the Red Cross), non-profit foundations (e.g., the Bill & Melinda Gates Foundation) and international financial institutions (e.g. the World Bank).



<sup>2</sup> UN Women. 2017. "The power of procurement: How to source from women-owned businesses".

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According to the *Annual Statistical Report on United Nations Procurement*, the overall procurement volume of the UN System has been increasing and of more diversified nature in recent years, as the procurement needs from partners have been growing. UN organizations procured \$19.9 billion worth of goods and services in 2019.



## II. STRATEGY

China has achieved significant economic and social development since the reform and opening-up period. Starting from a relative low base, China has become a large manufacturer and trader, with diversified industrial sectors and product types. It is now the largest place of origin of products procured by many international organizations and business institutions. According to UN data, China accounted for 29% of the global manufacturing output in 2019 <sup>3</sup>.

The project strategy entails advocating and encouraging green and low carbon procurement practices to promote decarbonization; enhance the capacities of SMEs and WOBs for sustainable procurement including tapping into the international organization's procurement market; and saving costs and mitigating risks related to international organization procurement.

### Theory of Change and Intervention Strategy

#### **Problem statement and analysis**

The development challenge that this project aims to tackle is low capacities of Chinese businesses, in particular SMEs and WOBs, to compete in international procurement due to capacity and language barriers and limited knowledge of sustainable and green sourcing and procurement.

In recent years there have been attempts by Chinese institutions and organizations to address this challenge by promoting procurement of international organizations, which includes knowledge sharing on international organizations procurement including the UN, and advocacy with Chinese businesses. The UN System also has cooperated with the Chinese government to provide training and capacity building. However, these initiatives, were ad hoc and devoid of a strategy to contribute to the challenges identified.

#### **Direct causes**

<sup>3</sup> <https://www.statista.com/chart/20858/top-10-countries-by-share-of-global-manufacturing-output/>

Currently there are no institutionalized capacity building opportunities and information sharing platforms on international procurement that are available to Chinese businesses, including SMEs and WOBs.

### ***Underlying causes***

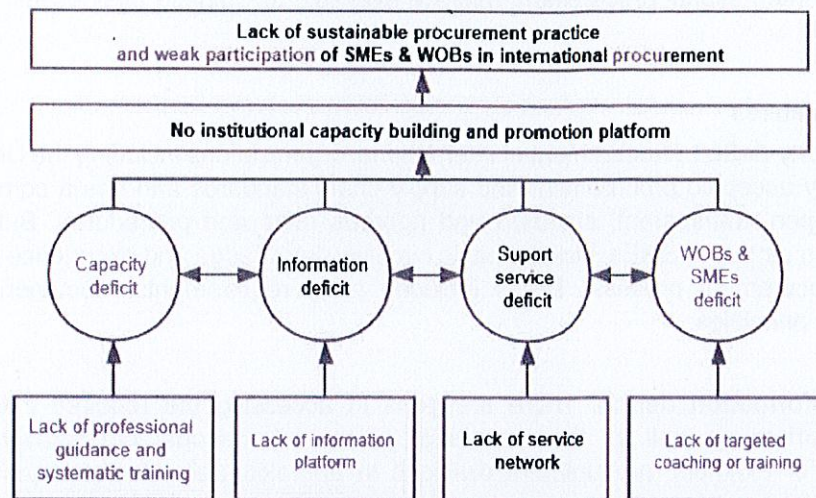
Firstly, **capacity deficit**. Procurement of international organizations including the UN, is aligned with internationally accepted procurement and supply chain standards and has a complete set of fair, integrated, open, transparent, standard and rigorous rules and procedures. But many Chinese businesses, in particular SMEs, lack the basic capacity, knowledge and experience required to cater to these procurement process. These includes entry requirements, documentation and also sustainability principles.

Secondly, **information deficit**. There are gaps in accessing the required information due to language barriers as well as the complexity of the international organization's procurement processes. For example, procurement divisions in approximately 40 UN organizations procure around 10,000 types of goods and services that fall into 28 categories. However, many of them have little understanding of China's market, Chinese businesses, goods and services. At the same time, Chinese businesses, especially SMEs and WOBs, have limited knowledge or exposure to the UN procurement market, making it very difficult for them to obtain immediate and accurate information on demand or tendering/bidding, let alone how to obtain such information.

Thirdly, **deficit of support services**. There is no systematic support mechanism or platform dedicated to support businesses participating in international procurement, such as financial service, guarantees, quality certification, inspection and quarantine, customs declaration as well as logistics and warehousing.

Fourthly, **deficit of SMEs and WOBs**. Limited capacities entail SMEs and WOBs are the most disadvantaged due to the lack of platforms. Also, the abovementioned obstacles have different negative impacts on men and women. Female entrepreneurs may face more challenges than male entrepreneurs in participating in UN/international organizations procurement. As stated in the UN Women report, women are usually constrained by financial, social and human capital in their engagement in economic activities. Regarding financial capital, women often start their businesses with less capital and have fewer opportunities for financing than their male counterparts, which limits their ability to start and expand their businesses. In regard to social capital, it is often difficult for female entrepreneurs to establish full-fledged business networks and individual or organizational connections that help create business opportunities. Finally, with respect to human capital, they often lack management experience, and have less time devoted to work due to unpaid care duties.

### Theory of Change: Problem Tree



#### Intervention areas

Based on the immediate and fundamental causes of the problem and several rounds of consultations with stakeholders, this project will address the challenges identified.

Firstly, to tackle the **capacity deficit**, this project proposes undertaking procurement training and capacity development for businesses, especially SMEs and WOBs. The aim is to provide participants with procurement expertise, including sustainable procurement, registration requirements, and knowledge related to tendering/bidding rules including e-tendering, and procurement processes/rules. Sessions will be tailored to specific industries and needs.

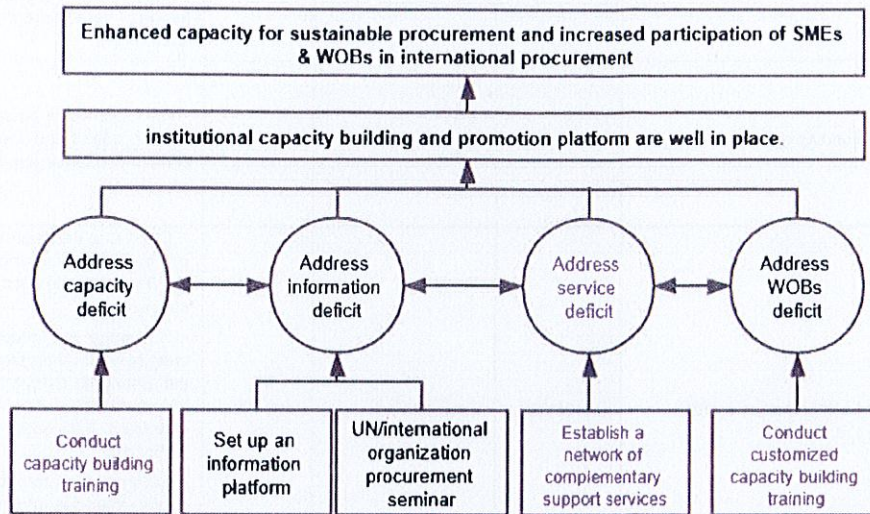
Secondly, to tackle the **information deficit**, the project aims to establish a platform as a one stop shop for international organization/UN procurement, which would also contribute to sustainable procurement services, information sharing and capacity building. The platform will maintain and operate a system to provide procurement information and knowledge for all concerned stakeholders. The platform will benefit from the direct participation and guidance of procurement experts from UNDP, United Nations Population Fund (UNFPA), UNOPS and other international organizations as well as feed information to these entities on market intelligence in China.

Thirdly, to tackle the **support service deficit**, the project will build close partnerships with chambers of commerce, industrial associations, and third-party public service providers to boost sustainable procurement. It will establish networks of cooperation providing services to participating suppliers, advocating for Chinese business participation and making it easier for businesses to obtain various professional services required, such as finance, leasing, warehousing and logistics, customs, quality certification, and inspection and quarantine.

Finally, throughout its implementation, this project will focus on **gender mainstreaming** to ensure that strategies and planned outcomes and activities cater to WOBs. Those efforts include designing targeted capacity building activities, using gender-sensitive methodologies and approaches to collect data and information, supporting the UN and other international organizations empowering women and female entrepreneurs economically.



## Theory of Change: Solution Tree



### Assumptions

The theory of change of this project is based on the following assumptions: 1) Chinese businesses continues to have interests in the procurement opportunities available through international organizations; 2) major stakeholders including businesses, local governments, procurement associations etc., remain committed to participating in this project and attaining the objectives thereof; 3) Chinese businesses, especially SMEs and WOBs, consistently show strong demand and willingness for their capacity to be enhanced; 4) the commitment for grant and in kind co-financing remains; and 5) the policy commitment for sustainable and green commitment including the policy incentives increase. These assumptions have all been adequately analysed and addressed in the project design phase.

### Risks and Mitigation

Based on stakeholders' analysis of the project, the theory of change described above and the lessons from similar projects in the past, this project may be confronted with the following risks:

#### Project Risks and Mitigation Measures

#	Risk Description	Date of Risk Identification	Risk Category	Impact & Likelihood	Mitigation Measures
1	Hindrances caused by COVID-19 to project activities and people communication	18/12/2020	Social and Environmental risk	Moderate	<ul style="list-style-type: none"> <li>- The steering committee provides the guidance for necessary adjustment as required for project implementation in accordance with government guidelines on COVID-19 to ensure minimum impact of the pandemic.</li> <li>- Adopt an online &amp; offline approach, if necessary</li> <li>- Postpone activities or restrict their scale</li> </ul>
2	Government commitment for financing changes	18/12/2020	Policy risk	Low	<ul style="list-style-type: none"> <li>- Shanghai Qingpu District Government is committed to support the project.</li> <li>- The project document which is a legal agreement is signed for 5 years</li> </ul>

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					<ul style="list-style-type: none"> <li>- High government credibility and credit standing based on track record of previous partnerships</li> <li>- Incorporate this project into the local five-year development plan of the local government</li> </ul>
3	Funding gaps	18/12/2020	Implementation risk	Low	<ul style="list-style-type: none"> <li>- The focus would be on diversifying the funding based and also raising in kind contribution for targeted activities.</li> </ul>
4	Lack of market interest	18/12/2020	Execution risk	Low	<ul style="list-style-type: none"> <li>- Conduct a thorough study on the pain points of businesses including SMEs and WOBs and develop an advocacy strategy</li> <li>- Leverage the influence of the three chambers of commerce for import and the Shanghai Convention &amp; Exhibition Industries Association, to invite as many interested businesses as possible to participate</li> <li>- Leverage the procurement experience of the agencies of the UN and other international organizations to develop and design targeted project activities</li> </ul>
5	Impact of other online/virtual service platforms on the centre	18/12/2020	Other risks	Low	<ul style="list-style-type: none"> <li>- Leverage the influence and global presence of the UN system</li> <li>- Make the services of the centre more distinctive and deliver better services</li> </ul>
6	Not achieving buy in and support from other UN agencies	02/06/2021	Execution risk	Low	<ul style="list-style-type: none"> <li>- Keep in close contact with other UN agencies, respond to their suggestion and make adjustment accordingly</li> <li>- Focus on quality and sustainable goods and cost savings for the UN system</li> </ul>
7	Perception from other Member States that China is being favoured by the UN	02/06/2021	Policy risk	Low	<ul style="list-style-type: none"> <li>- Focus on communications and advocacy to inform the SME, WOBs and sustainable procurement thrust of the project</li> <li>- Ensure that as part of risk management to be inclusive of all entities and also carefully review activities to ensure that they do not provide an unfair advantage</li> <li>- Ensure all tools, trainings, and publications through the projects are widely available as public goods.</li> </ul>

### III. RESULTS AND PARTNERSHIPS

To address the challenges identified above and to create consensus and leverage the stakeholders' potential for sustainable procurement, the project would support the establishment of a platform for UN/international organizations procurement services, information sharing and capacity building.

#### 3.1 Expected Results

##### Procurement Platform in Shanghai Qingpu District

The immediate objectives of this project are to facilitate the establishment of a platform for UN/international organizations procurement services, information sharing and capacity building in Shanghai's Qingpu District and to enhance the capacity of businesses, especially SMEs and WOBs to directly participate in UN/international organization procurement.

The platform will lay the groundwork for an institutionalized arrangement to be put in place with the support of the government on the long run. This opens the possibility for other international organisations to leverage this platform for their own procurement services. Such a cluster for procurement services would enhance services provided to the UN and other international organizations. The platform would also service government departments engaged in public procurement activities and target SMEs and WOBs, with the aim is enhance sustainable procurement practices.

The platform's main objectives are as follows:

- Raise suppliers' awareness of the requirements, compliance and qualification standards to overcome the existing information asymmetry in the procurement processes.
  
- Assess the capacity challenges that local businesses, including SMEs and WOBs, would encounter in their participation in procurement processes.
  
- Devise and implement various capacity building activities based on the conclusions of the report and the actual demand to enhance the capacity of businesses, especially SMEs and WOBs, to directly participate in procurement processes.
  
- Establish a public service network that makes it easier to directly participate in procurement processes.
  
- Help businesses to focus on sustainability in their production processes, moving towards sustainable procurement to reduce carbon intensity.
  
- Conduct targeted training for WOBs to enhance their opportunities to participate.
  
- Generate savings for the UN and international organizations and other procurement partners and increase their sourcing capacity and supplier diversity.

### **3.2 SDG Impact**

This project will directly and indirectly be contributing to the following SDGs:

Goal 3: Ensure healthy lives and promote well-being for all at all ages

Goal 5: Achieve gender equality and empower all women and girls

Goal 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

Goal 12: Ensure sustainable consumption and production patterns

Goal 17: Strengthen the means of implementation and revitalize the global partnership for sustainable development

### **3.3 Resources Required to Achieve the Expected Results**

This project requires a budget of approximately \$8.62 million. It has received commitment of local government co-financing from Shanghai Qingpu District People's Government/Xujing Township People's Government \$5.61 million (including: Qingpu District People's Government \$1.50 million;

Xujing Township People's Government \$4.11 million) over five years (from 2021 to 2026). The balance \$3.01 million will be in kind contribution and parallel funding from Shanghai Glorious Investment Development Co., Ltd. also allocated in five years (from 2021 to 2026).

This project is designed as an open and participatory umbrella project that i) allows and encourages potential stakeholders to participate, including the private sector, industrial organizations and non-governmental organizations (NGOs), and ii) develop activities based on respective comparative advantages and demands. Additional contributions from new partners or substantive revisions will be approved by the steering committee in accordance with UNDP's and CICETE's project management rules.

### **3.4 Expected Outputs**

#### **Output 1: Establish a service, information-sharing and capacity building platform for sustainable procurement of UN/international organisations**

This project will promote the establishment of a platform for service, knowledge and information sharing on sustainable procurement of UN/international organisations in Tonglian Innovation Industrial Park, Xujing Town, Qingpu District, Shanghai. It will develop and operate a platform for UN/international organizations procurement information and knowledge sharing with direct participation and guidance of procurement experts from UNOPS and other organizations. The platform would serve as a means to: 1) circulate translated procurement notices published by UN/international organizations, such as UNDP and UNOPS, to help businesses connect with and guide them to use the UNGM platform; 2) release information on large conferences/exhibitions and capacity building events planned to be implemented under this project on a timely fashion; 3) share information on public procurement including related courseware and material, and provide advisory services; and share the list of supporting service suppliers.

#### **Output 2: Advocacy and engagement on procurement**

On an annual basis, the project will host an international procurement conference in Shanghai. The yearly events will be jointly organized by the Chinese government, the relevant UN agencies and other international organizations, chambers of commerce and industrial associations, and economic and trade promotion agencies. The aim would be to advocate for sustainable procurement principles and engagement with UN/international organizations procurement and provide a platform for UN procurement agencies and various SMEs to demonstrate products and communicate. In addition, every two years, the project will apply to the HLCM Procurement Network to host an international Procurement Seminar (IPS).

#### **Output 3: Develop capacities on sustainable procurement**

This project will hold a range procurement training and capacity development sessions for businesses, especially SMEs and WOBs, in Shanghai's Qingpu District in close collaboration with UN/international organizations, chambers of commerce and industrial associations. The aim is to inform participants on UN procurement, registration requirements/methods, tendering/bidding rules and procurement processes/rules. The workshops would enhance local businesses' understanding, encouraging them to follow sustainable procurement rules and requirements of UN/international organizations and aligning their processes with international standards. Specialized training material focused on WOBs and SMEs will be developed and made available.

Indicative training activities include training on business qualifications/certifications required for participation in UN/international organizations procurement, such as the pre-qualification; training on empowering women, youths, ethnic minorities and entrepreneurs with disabilities; introduction to

innovative initiatives/platforms built by UN/international organizations, such as UNOPS, UNFPA, the United Nations International Children's Emergency Fund (UNICEF) and UNGM, in an effort to promote businesses participation in innovative products and solutions; thematic training and capacity building events related to sustainable procurement.

#### **Output 4: Develop networks for procurement and support services**

This project plans to leverage the international organizations, such as the International Committee of the Red Cross (ICRC) and the World Bank, to build close partnerships with chambers of commerce and industrial associations as well as third-party public service agencies, and establish a cooperation network in Tonglian Innovation Industrial Park in Shanghai's Qingpu District. Vendors would benefit from a one-stop service for easier access to all professional services, such as financial service, leasing, logistics and warehousing, customs, quality certification, inspection and quarantine.

### **3.5 Partnerships and Stakeholders Engagement**

This project will also build on the public-private partnerships to establish and strengthen cooperation networks, business coordination and experience sharing with external institutions and organizations in the implementation phase, to ensure the effectiveness and influence of this project. The success of the project depends on the collaboration among the various stakeholders and external partnerships including with Chinese ministries, local governments at all levels, UN organizations, chambers of commerce, industrial associations, economic and trade promotion agencies, NGOs and the private sector. Key stakeholders include:

**Government:** At the national and local government levels, this project has obtained the recognition and support of relevant departments of China's Ministry of Commerce, the Shanghai Municipal Commission of Commerce and the Qingpu District People's Government, ensuring government ownership for this project. The project can also benefit from other major economic and trade promotion platforms led by China's Ministry of Commerce. CICETE under the Ministry of Commerce will be the implementing partner.

**Businesses and small and medium enterprises networks:** These include: 1) China Council for the Promotion of International Trade, with 50 sub-councils, over 800 branches and 110,000 members; 2) China Chamber of Commerce for Import and Export of Machinery and Electronic Products, with 24 sub-chambers of commerce and over 10,000 members including a large number of leading businesses and SMEs; 3) China Chamber of Commerce for Import and Export of Medicines and Health Products, with 15 sub-chambers of commerce, over 3,000 members; and 4) Shanghai Convention & Exhibition Industries Association, the most influential organization in the field of conventions and exhibitions in Shanghai, with over 600 members and a customer base of many large, medium and small-sized businesses across Shanghai and the Yangtze River Delta.

These institutions will bring into play their respective networks to encourage their members to take an active part in the project's events, such as training, the establishment of the information centre, industrial fora, thematic training, recommendation of eligible businesses/products etc.

**UN Family:** the project will plan to establish partnerships with other UN organizations, including but not limited to major procurement agencies of UNFPA, UNICEF, the World Food Programme (WFP), and United Nations High Commissioner for Refugees (UNHCR), under the support and coordination from the Office of Resident Coordinator in China.

### **3.6 South-South Cooperation (SSC)**

This project will lay much emphasis on discussing potential opportunities for South-South Cooperation. The platform for procurement services, information sharing, and capacity building will be open to all countries, especially developing countries, and strive to provide information and consulting services to government procurement officials and businesses from the developing world. This project will also support and participate in trade promotion and capacity building events organized by other developing countries if needed.

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#### **IV. PROJECT MANAGEMENT**

The project will follow the National Implementation Modality (NIM). Major activities of project management include project planning, project activity implementation management, progress monitoring, review and auditing, information results publicity and knowledge sharing.

The project will establish a coordination mechanism for project partners, which is called the Project Steering Committee (PSC), the top decision-making body. The Project Management Office (PMO) will be set up in the Tonglian Innovation Industrial Park in Xujing Town, Qingpu District, Shanghai, where the platform for procurement services, information sharing, and capacity building will also be based. Refer to Section 8.2 for the organigram for the project management and refer Section 8.3 for the roles and responsibilities of the parties in the PSC.

The Shanghai Qingpu District People's Government will appoint a government representative as the National Project Director (NPD) in charge of the project management (the list of roles and responsibilities is attached). The day-to-day implementation of the project will be carried out by PMO comprised of a PMO Director, Project Manager and additional support staff. The PMO Director will be selected and appointed by the Shanghai Qingpu District People's Government. S/he will perform his or her duties under the guidance of the steering committee and the direct leadership of the NPD. A full-time project manager and support staffs as specified in the project document will be recruited on an as-needed basis. If necessary, management personnel can be dispatched by stakeholders.

To ensure professional guidance and technology in place throughout the implementation of the project, a part-time Chief Technology Advisor (CTA) will be recruited to work directly under the NPD. An UNOPS officer will be recruited as a resident officer at the project office, with technology support to be provided by UN procurement officials when needed.

This project will recruit third-party service institutions or individuals through service outsourcing to fulfil the technical tasks, such as the design, establishment, information transformation and translation of the database of the platform for UN/international organization procurement services, information sharing and capacity building. The venues for the platform and the project management office will be provided by Shanghai Glorious Investment Development Co., Ltd. During the implementation of the project, the ownership of the platform will belong to the government.

In line with the "National Implementation Project of United Nations Development Programme in China: Guidelines and Procedures (NIM Manual)", this NIM/UNDP project is to undergo an annual audit for which the budget has already been allocated for this purpose. Funding has also been arranged for the support services provided by UNDP and UNOPS and the resulting direct project costs.

## V. RESULTS FRAMEWORK<sup>4</sup>

<p><b>Contributing to UN SDGs:</b></p> <p>Goal 3: Ensure healthy lives and promote well-being for all at all ages</p> <p>Goal 5: Achieve gender equality and empower all women and girls</p> <p>Goal 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all</p> <p>Goal 12: Ensure sustainable consumption and production patterns</p> <p>Goal 17: Strengthen the means of implementation and revitalize the global partnership for sustainable development</p> <p>Moreover, as this project seeks to promote UN/International organizations procurement, UN organizations would directly benefit from a more efficient use of their financial resources and budgets, on the back of lower procurement costs for peacekeeping operations, humanitarian aid and development cooperation programmes/projects across the globe. This would allow to expand the impact of the project and its indirect contribution to all SDGs.</p>										
<p><b>Contributing to the key outputs specified in the UNDP Strategic Plan (2018-2021):</b></p> <p>Output 2.2.1 Use of digital technologies and big data enabled for improved public services and other government functions.</p>										
<p><b>Contributing to the key areas and outcomes specified in the UN Sustainable Development Cooperation Framework for People's Republic of China (2021-2025):</b></p> <p>Priority 3: Partnership: Achieving Open Development</p> <p>Outcome 5: China's international financing, investments and business engagements, including through connectivity initiatives, programmes and projects, contribute to SDG attainment in partner countries.</p>										
<p><b>Contributing to the key areas and outputs specified in the UNDP Country Programme Document for China (2021–2025):</b></p> <p>Output 3.2 National capacities strengthened to design and deliver evidence-informed development and humanitarian assistance.</p>										
<p><b>Project title and Atlas Project Number:</b></p>										
EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>5</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS
			Value	Year	2021	2022	2023	2024	2025	

<sup>4</sup> 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.

<sup>5</sup> 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.

<b>Output 1</b> Establish a service, information-sharing and capacity building platform for sustainable procurement of UN/international organisations	1.1 Design, construction, leasing, decoration and operation of the centre for UN/international organization procurement services, information sharing and capacity building	Sign-off report office	0	2020	1						1	Field sign-off, quarterly report (number of businesses that have won procurement bids)
	1.2 Planning, design and operation of the procurement database	Sign-off report office	0	2020	1						1	Field sign-off, quarterly report
	1.3 Transformation/translation/publication of UN procurement information (number of issues)	Sign-off report office	0	2020	2	4	4	4	4	4	20	Quarterly reports, online verification (number of businesses directly participating in UN/international organizations procurement and the amount of funds involved)
<b>Output 2</b> Advocacy and engagement on procurement	1.4 UNOPS resident experts to the centre for procurement services, information sharing and capacity building	Service agreement	0	2020	1						1	Employment contract, performance report (number of businesses completed registration, including the number of WOBs registered)
	2.1 UN international procurement conference held (including a side meeting held with UN Women)	Conference debrief report	0	2020	1	1	1	1	1	5	Debrief report of the conference (number of businesses participating in conferences, UN organizations, businesses having registered with the UNGM, and one-on-one negotiations between businesses and procurement officials)	
	2.2 Attendance (number of businesses and female entrepreneurs/WOBs)	Conference debrief report	0	2020	500	500	500	500	500	2,500		
<b>Output 3</b>	3.1 UN/international public procurement basic capacity building briefing/training	Training debrief report	0	2020	3	3	3	3	3	15	Debrief report (quantity and quality of capacity building training)	



Develop capacities on sustainable procurement	3.2 Attendance (number of trainees or number of businesses)	0	2020	300	300	300	300	300	300	300	1,500	sessions, number of trained businesses, businesses having registered with the UNGM including ordinary, first-level and second-level vendors, and UN/international organizations involved)
	3.3 Number of capacity training dedicated to WOBs	0	2020	1	1	1	1	1	1	5		
	3.4 Attendance (number of female trainees or number of WOBs)	0	2020	100	100	100	100	100	100	500		Trained female entrepreneurs Training debrief (number of businesses and bidding specialists trained) Training debrief (number of SMEs trained, number of activities organized, and number of businesses obtained certification)
	4.1 Build a third-party public service supplier cooperation network (number of third-party suppliers)	0	2020									Breadth and depth of the network, as well as the quantity and quality of service suppliers
Output 4 Develop networks for procurement and support services	4.2 Reach out and invite interested UN agencies and international organizations to join this project (number of UN and other international organizations participating in the activities under this project)											

## VI. MONITORING AND EVALUATION

This project will conduct monitoring and evaluation according to the Standard Procedures of UNDP on Programme Monitoring, Review and Evaluation. The expected results, output indicators, multi-year work plan of the project and the gender mainstreaming action plan listed in the results framework of this project lay the foundation for monitoring and evaluating the implementation progress and the degree to which its outputs/results have been achieved. At the project launch meeting, all parties will review and confirm the indicators and, based on the current circumstances make the decision on whether or not to adjust some indicators as well as monitoring and evaluation plans. The project office manages day-to-day monitoring and regular evaluation and fulfills the responsibility of knowledge management and social and environmental safety.

### 6.1 Monitoring Plan

To ensure that the strategic direction and the progress towards the expected results are in line with the project design, the Qingpu District People's Government and the national project director will conduct regular field inspections, in collaboration with the project office. Should any delays or obstacles occur during the implementation phase, the Qingpu District People's Government and the project office shall timely report to CICETE and UNDP China Office, so that remedial measures could be provided immediately.

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.	Annually	Slower than expected progress will be addressed by the project office.	PMO, Qingpu District Government	
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.	Risk log updated annually	Risks are identified by the project office and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	NPD, PMO, Qingpu District Government and CTA	
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.	Annually	Relevant lessons are captured by the project team and used to inform management decisions.	PMO, UNDP, CICETE	
Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths	Biannually	Areas of strength and weakness will be reviewed by project management and	UNDP, CICETE	

	and weaknesses and to inform management decision making to improve the project.		used to inform decisions to improve project performance.	
<b>Project progress Report</b>	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	The project office will write the project progress report in the required format based on collected and analysed information/data, and submit it to the national project director for review before submitting it to CICETE.	PMO
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	Annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	UNDP
<b>Project Review</b>	The project's governance mechanism (i.e., PSC) 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.	Annually	To be reviewed by all parties. Any issue and challenge should be discussed, and action plans to address them agreed on.	All stakeholders

## 6.2 Evaluation Plan<sup>6</sup>

According to the provisions and requirements set out in the project implementation regulations signed between the Chinese government and UNDP, this project will receive interim and final reviews carried out by external independent experts. The review outline and responsibility matrix will be jointly drawn up by all stakeholders of the project.

The interim review will be conducted in the 30th month from the start of the project. It will focus on the relevance, effectiveness, funding efficiency and sustainability of the project, identifying issues and defects and laying out solutions. The final review will be conducted in the last three months before the end of the project. It will have a similar focus as the interim review, but with greater emphasis to be placed on the impact of the results and their sustainability, and suggestions to be presented on follow-up events of the project.

<sup>6</sup> Optional, if needed

**VII. MULTI-YEAR WORK PLAN <sup>7b</sup>**

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year						RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4	Y5	Y6		Funding Source	Budget Description	Amount
<b>Output 1:</b> Establish a service, information-sharing and capacity building platform for sustainable procurement of UN/international organisations	1.1 Design and development planning for the centre for UN/international organization procurement services, information sharing and capacity building	50,000							Qingpu District Government (Xujing Township People's Government)	Including immediate/range/long-range objectives and implementation pathways	50,000
		136,000	272,000	272,000	272,000	272,000	136,000	Shanghai Investment Co., Ltd.	Glorious Development	1,000m	1,360,000
	1.2 Rent for office spaces	200,000	200,000	200,000	200,000	200,000		Shanghai Investment Co., Ltd.	Glorious Development	Including all utilities expenses	1,000,000
	1.3 Decoration, equipment, maintenance and property management of office spaces	40,000	40,000	40,000	40,000	40,000		Shanghai Investment Co., Ltd.	Glorious Development	Including computers and servers, etc.	200,000
1.4 Database building for the centre (including software and hardware)											

<sup>7</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>8</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

	1.5 Platform operation and maintenance	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	Shanghai Investment Co., Ltd.	Glorious Development	Third-party service procurement	250,000
	1.6 UNOPS experts	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	Qingpu District Government (Xujing Township People's Government )	UNOPS resident experts	UNOPS resident experts	250,000
	1.7 UN technical support experts	60,000	60,000	60,000	60,000	60,000	60,000	60,000	60,000	60,000	60,000	60,000	60,000	Qingpu District Government (Xujing Township People's Government )	Other UN organizations	Other UN organizations	300,000
	1.8 Procurement information transformation/translation/publication	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	Qingpu District Government (Xujing Township People's Government )	Published regulatory	Published regulatory	250,000
	<b>Sub-Total for Output 1</b>																<b>3,660,000</b>
<b>Output 2:</b> Advocacy and engagement on procurement	2.1 UN international procurement conference	300,000	300,000	300,000	300,000	300,000	300,000	300,000	300,000	300,000	300,000	300,000	300,000	Qingpu District Government	International Procurement Conference organization costs	International Procurement Conference organization costs	1,500,000
	MONITORING																
	<b>Sub-Total for Output 2</b>																<b>1,500,000</b>
<b>Output 3:</b> Develop capacities on sustainable procurement	3.1 Business basic capacity building training													Qingpu District Government (Xujing Township People's Government )	Training organization costs	Training organization costs	
	3.2 Business bidding capacity and specialists training	80,000	140,000	140,000	140,000	140,000	140,000	140,000	140,000	140,000	140,000	100,000	100,000	Qingpu District Government (Xujing Township People's Government )	Training organization costs	Training organization costs	600,000
	3.3 Business qualifications certification and compliance training													Qingpu District Government (Xujing Township People's Government )	Training organization	Training organization	

<p><b>Output 4:</b> Develop networks for procurement and support services</p>	<p>3.4 Training on business capacity to obtain procurement information (including annual procurement plans, procurement summaries and key procurement projects of UN organizations)</p>	<p>Qingpu District Government (Xujing Township People's Government )</p>	<p>Training organization costs</p>	<p>500,000</p>
	<p>3.5 Training on business participation in UN procurement innovation events</p>	<p>Qingpu District Government (Xujing Township People's Government )</p>	<p>Training organization costs</p>	
	<p>3.6 SME-specific and WOB-specific capacity building training</p>	<p>Qingpu District Government (Xujing Township People's Government )</p>	<p>Training organization costs</p>	
	<p><b>Sub-Total for Output 3</b></p>			
<p><b>Output 4:</b> Develop networks for procurement and support services</p>	<p>4.1 Support to the platform for selecting and engaging with potential third-party public service suppliers</p>	<p>Qingpu District Government (Xujing Township People's Government )</p>	<p>Including global testing &amp; certification, lab, logistics, industrial associations and financial institutions</p>	<p>450,000</p>
	<p>4.2 UN/domestic experts (PQ certification)</p>	<p>Qingpu District Government (Xujing Township People's Government )</p>	<p>WHO lab</p>	<p>100,000</p>
	<p>4.3 Domestic and international publicity and demonstration/visits</p>	<p>Qingpu District Government (Xujing Township People's Government )</p>		<p>220,000</p>

	4.4 Business travels of experts service partners	20,000	40,000	40,000	40,000	40,000	40,000	40,000	40,000	20,000	20,000	200,000
	<b>Sub-Total for Output 4</b>											970,000
	Chief technical advisor (CTA)	15,000	30,000	30,000	30,000	30,000	30,000	30,000	15,000	15,000		150,000
	Project office staff	50,000	100,000	100,000	100,000	100,000	100,000	50,000	50,000	50,000		500,000
	Project monitoring and review	20,000	40,000	40,000	40,000	40,000	40,000	20,000	20,000	20,000		200,000
	Project audit	0	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000		50,000
	Project evaluation									25,000		50,000
	Results promotion									20,000		20,000
	<b>Sub-Total</b>											970,000
	<b>Total</b>											7,700,000
	<b>Direct Procurement Cost (DPC)</b>											462,000
	<b>General Management Support (GMS)</b>											462,000
	<b>TOTAL</b>											8,624,000

## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

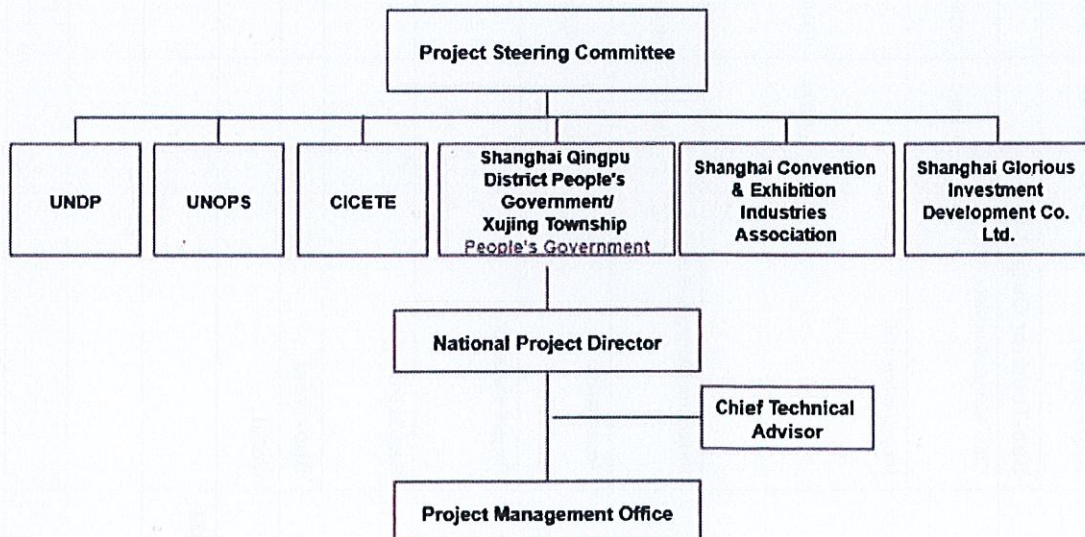
### 8.1 Implementation Modality

This project adopts the national implementation modality (NIM), based on the “National Implementation Project of UNDP in China: Guidelines and Procedures (NIM Manual)” signed between CICETE and UNDP in January 2020. CICETE will act as the implementing partner of the project to manage and coordinate it and provide implementation support. UNDP and UNOPS will bring into play their technical advantages as UN organizations and will directly manage some activities by supporting national implementation as agreed by all parties. To do so, they need to develop detailed work plans and sign a letter of agreement (LOA) with CICETE as required by the project management regulations. They will be held accountable by CICETE for what they will directly execute.

### 8.2 Project Management Framework

To ensure the execution, management and implementation of this project comply with the regulations set forth in the NIM Manual, this project will set up a Project Steering Committee (PSC) tasked with the strategic decision-making. The PSC involves all major stakeholders as the highest decision-making body.

The steering committee and the National Project Director (NPD) will instruct the Project Management Office (PMO). The latter will be responsible for the daily management and specific implementation of the project to ensure output/results are achieved.



### 8.3 Responsibilities of Stakeholders

#### 8.3.1 Responsibilities of the Project Steering Committee



The PSC ensures all participants in this project have substantive participation and project management and implementation decision making is shared. The steering committee will be composed of members from CICETE, UNDP, UNOPS, the Shanghai Qingpu District People's Government/Xujing Township People's Government, Shanghai Convention & Exhibition Industries Association and Shanghai Glorious Investment Development Co., Ltd.. They shall have a full understanding of the responsibilities they have to assume and earnestly fulfil them. The steering committee will hold regular meetings on important matters, implementation progress, work plans, coordination with departments, inter-departmental consultation, and achievement/lesson sharing.

As the highest decision-making body, the PSC operates by the following functions and principles: 1) keep abreast of the policies and the general trend, and work on all the major matters concerning this project; 2) supervise the implementation agency of this project, and work on and resolve challenges and issues that may arise; 3) ensure all members of the steering committee are well informed of the execution and implementation of this project; 4) based on the scale and complexity of the project, establish the frequency and mode of holding meetings on a reasonable basis and at least once a year. Should any major events occur or major adjustments necessary, meetings could be held at any time; 5) coordinate the partnership among various stakeholders; and 6) review and approve major documents such as the project annual work plan (including making cross-section and cross-year adjustments to the budget if needed) and the annual work report. Any budget revision reviewed and approved by the steering committee would be deemed the legal basis for the implementation of the project.

### **8.3.2 Responsibilities of UNDP**

- Collaborate with the United Nations Resident Coordinator Office (RCO) and the China offices of UN organizations to mobilize and coordinate agencies within the UN System to participate in the events organized by the project
- Monitor, review and evaluate the project with CICETE
- Participate in the work of the steering committee
- Recommend eligible experts for this project
- Participate in major conferences and project capacity building events and provide technical support
- Share the results of this project and the lessons of its success
- Manage direct implementation of some activities as set out in the letter of agreement (LOA) signed with CICETE.

### **8.3.3 Responsibilities of UNOPS**

- Participate in the work of the steering committee
- Liaise and coordinate with UNGM and other relevant UN agencies
- Provide technical support for the establishment of a centre for UN/international organisations procurement services, information sharing and capacity building
- Mobilize and coordinate the substantive participation and technical and information support of the UNOPS Procurement Group
- Select and recruit qualified officials and experts for the project
- Participate in major conferences and project capacity building events and provide technical support
- Share the outcomes and best practices of this project

- Undertake direct implementation of some activities as set out in the LOA signed between CICETE and UNDP. UNOPS shall receive funds from UNDP pursuant to an Inter-Agency Agreement ("IAA").

#### **8.3.4 Responsibilities of CICETE**

- Fulfil the project management responsibilities as the implementing partner
- Participate in the work of the steering committee
- Mobilize and coordinate departments of China's Ministry of Commerce and other Chinese government departments to support and participate in this project
- Mobilize and coordinate China's chambers of commerce and industrial associations to participate in the events of the project

#### **8.3.5 Responsibilities of Shanghai Qingpu District People's Government**

- Participate in the work of the steering committee
- Ensure on-time and full-amount government funding contributions and other investments
- Appoint a national project director to supervise daily implementation management of the project office and ensure the output and results of this project are on schedule
- Appoint the director of the project office
- Coordinate local partnerships

#### **8.3.6 Responsibilities of Shanghai Convention & Exhibition Industries Association**

- Participate in the work of the steering committee
- Support the National Project Director to provide guidance and support for the project implementation
- Liaison and coordinate with relevant municipal level departments and central level ministries
- Lead the planning and organization of the UN international procurement conference
- Mobilize and coordinate the businesses of Shanghai and Yangtze River Delta to participate in the project activities

#### **8.3.7 Responsibilities of Shanghai Glorious Investment Development Co., Ltd.**

- Participate in the work of the steering committee
- Ensure on-time and full-amount parallel financing and other investments, and open an account dedicated to this project
- Provide all the necessary venues and physical facilities for the construction, maintenance and operation of the centre for UN/international procurement services, information sharing and capacity building

#### **8.3.8 Responsibilities of the Project Management Office**

The Project Management Office will be set up by Xujing Township People's Government in the Tonglian Innovation Industrial Park in Xujing Town, Qingpu District, Shanghai. It will be in charge of organizing, implementing, managing and monitoring various project activities in accordance with the

approved annual work plan, developing the annual work plan, daily meeting minutes, progress reports and the annual work report, filing documents and managing and supervising the parallel financing of this project, all under the leadership and supervision of the steering committee and the national project director.

#### 8.4 Others

This project will seek to establish partnerships with organizations and institutions throughout its implementation and remain open to potential stakeholders such as the private sector, charities, foundations, NGOs and social organizations. The responsibilities, funding and project activities of new stakeholders of the project, would be planned and approved by the steering committee in accordance with the regulations and procedures of UNDP and CICETE on project management.

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## IX. LEGAL CONTEXT

### 9.1 Legal Context

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement (SBAA) between the Government of the People's Republic of China and the UNDP, signed in 1979. Given this project is established based on a public-private partnership modality, this project document will be jointly signed by CICETE, UNDP, UNOPS, the Shanghai Qingpu District People's Government and Shanghai Glorious Investment Development Co., Ltd. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by CICETE ("Implementing Partner") who will do so on behalf of the other Partners in accordance with the financial regulations, rules, practices and procedures specified in the "National Implementation Project of United Nations Development Programme in China: Guidelines and Procedures" signed between the UNDP and CICETE. CICETE shall not contravene the principles of the Financial Regulations and Rules of UNDP. UNDP, as a service provider, shall provide NIM support to CICETE by engaging UN agencies and other international organisations in accordance with the LOA signed between UNDP and CICETE.

### 9.2 Supplemental Provisions to the Financing Agreement

The funding contribution of new partners participating in this project and their new project output and activities, will be planned, reviewed and approved by the steering committee in accordance with the project management regulations of UNDP and China's Ministry of Commerce, to be confirmed by the signing of the revised project document by all stakeholders.

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## X. RISK MANAGEMENT

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, 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. To this end, 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.
2. 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 Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no 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 <https://www.unops.org/business-opportunities/vendor-sanctions>.
4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.

5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities) require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:

- i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
- ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;
- iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
- iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
- v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

6. 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>).
7. The Implementing Partner shall: (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. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

8. 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.
9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using funds received through or from UNDP. The Implementing Partner 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.
10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner 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](http://www.undp.org).
11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', 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 the Implementing Partner to find a solution.
12. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

13. *Choose one of the three following options:*

*Option 1:* UNDP shall be entitled to a refund from the Implementing Partner 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 Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

*Option 2:* The Implementing Partner 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 this Project Document, may seek recourse to the Implementing Partner 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 shall be entitled to a refund from the Implementing Partner 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 Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner 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 the Implementing Partner 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.

14. Each contract issued by the Implementing Partner 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 the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
15. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, 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.
16. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

## XI. ANNEXES

### 1. Project Quality Assurance Report

[Design QA Form](#)

### 2. Social and Environmental Risk Screening Checklist

<b>Checklist of Potential Social and Environmental Risks</b>	
<b>Principle 1: Human Rights</b>	<b>Answer (Yes/No)</b>
1. Would the project potentially involve or 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?	<b>No</b>
2. Would the project potentially involve or lead to inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?	<b>No</b>
3. Would the project potentially involve or lead to restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups?	<b>No</b>
4. Would the project potentially involve or lead to exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals from fully participating in decisions that may affect them?	<b>No</b>

5. Do duty-bearers have the capacity to meet their obligations in the project?	Yes
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7. Can local communities or individuals, if given the opportunity, raise human rights concerns regarding the project?	No
8. Would the project potentially involve or lead to exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>	
1. Would the project potentially involve or lead to adverse impacts on gender equality and/or the situation of women and girls?	No
2. Would the project potentially involve or lead to reproducing 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 and incorporated them into the overall project proposal and risk evaluation during the stakeholder engagement process?	No
4. Would the project potentially involve or lead to limitations on 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? 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	No
<b>Principle 3: Environmental Sustainability: Screening questions regarding risks associated with environmental sustainability are encompassed by the Standard-specific questions below</b>	
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>	
1.1 Would the project potentially involve or lead to adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes	No
1.2 Would the project potentially involve or lead to activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) 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 Would the project potentially involve or lead to 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 the project potentially involve or lead to risks to endangered species?	No
1.5 Would the project potentially involve or lead to introduction of invasive alien species?	No
1.6 Would the project potentially involve or lead to harvesting of natural forests, plantation development, or reforestation?	No
1.7 Would the project potentially involve or lead to harvesting of fish populations or other aquatic species?	No
1.8 Would the project potentially involve or lead to significant extraction, diversion or containment of surface or ground water? For example, construction of dams, reservoirs, river basin developments, groundwater extraction	No
1.9 Would the project potentially involve or lead to utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No



1.10 Would the project potentially involve or lead to adverse transboundary or global environmental concerns?	No
1.11 Would the project potentially involve or lead to development activities that may exert negative social and environmental impacts and have cumulative impacts on the existing or planned activities of the region? For example, the direct environmental and social impacts caused by the new roads in the forests (e.g. deforestation, groundworks, potential displacement). New roads may also result in land grabs of illegal settlers or unplanned commercial development in sensitive areas along the new roads. These are indirect, secondary or induced impacts that have to be considered. Also, if similar development were to be planned in the same forests, cumulative impacts caused by multiple activities (even if not belonging to the same project) have to be taken into account.	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>	
2.1 Would the project potentially involve or lead to massive greenhouse gas emissions or potential exacerbation of climate change?	No
2.2 Would the project potentially involve or lead to outputs and outcomes sensitive or vulnerable to potential impacts of climate change?	No
2.3 Would the project potentially involve or lead to direct or indirect increases in vulnerability to climate change impacts now or in the future (also known as maladaptive or negative coping practices)? For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>	
3.1 Would the project potentially involve or lead to construction, operation or demolition activities that may pose safety risks to local communities?	No
3.2 Would the project potentially involve or lead to transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation) that would potentially threaten community health or safety?	No
3.3 Would the project potentially involve or lead to large-scale infrastructure development (e.g. roads, buildings, dams)?	No
3.4 Would the project potentially involve or lead to harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.5 Would the project potentially involve or lead to the vulnerability of the project to earthquakes, subsidence, landslides, erosion, floods or extreme climate conditions?	No
3.6 Would the project potentially involve or lead to higher health risks (e.g. water-borne or other vector-borne diseases, or communicable diseases such as HIV/AIDS)?	No
3.7 occupational health and safety risks due to physical, chemical, biological and psychosocial hazards throughout the project life-cycle?	No
3.8 Would the project potentially involve or lead to employment or livelihood activities that may not meet national labour laws or international commitments (i.e. principles and standards of fundamental conventions of the International Labour Organization)?	No
3.9 Would the project potentially involve or lead to recruitment of security staff that may threaten community or individual health and safety (e.g. due to lack of appropriate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>	

4.1 Would the project potentially involve or lead to adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2 Would the project potentially involve or lead to utilization of tangible and/or intangible forms of Cultural Heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>	
5.1 Would the project potentially involve or lead to temporary or permanent and full or partial physical displacement?	No
5.2 Would the project potentially involve or lead to 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 Would the project potentially involve or lead to risk of forced evictions?	No
5.4 Would the project potentially involve or lead to impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>	
6.1 Would the project potentially involve or lead to areas where indigenous peoples are present (including project area of influence)?	No
6.2 Would the project potentially involve or lead to activities located on lands and territories claimed by indigenous peoples?	No
6.3 Would the project potentially involve or lead to impacts to 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)? If the answer to screening question 6.3 is “yes”, then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk.	No
6.4 Would the project potentially involve or lead to the 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
6.5 Would the project potentially involve or lead to the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6 Would the project potentially involve or lead to 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 potentially involve or lead to adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8 Would the project potentially involve or lead to risks to the physical and cultural survival of indigenous peoples?	No
6.9 Would the project potentially involve or lead to impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>	

7.1 Would the project potentially involve or lead to 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?	<b>No</b>
7.2 Would the project potentially involve or lead to the generation of waste (both hazardous and non-hazardous)?	<b>No</b>
7.3 Would the project potentially involve or lead to the manufacture, trade, release, and/or use of hazardous materials and/or chemicals? Would the project potentially involve or lead to the use of chemicals or materials subject to international bans or phase-outs? For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Stockholm Convention	<b>No</b>
7.4 Would the project potentially involve or lead to the application of pesticides that may have a negative effect on the environment or human health?	<b>No</b>
7.5 Would the project potentially involve or lead to significant consumption of raw materials, energy, and/or water?	<b>No</b>

### 3. Project Risk Register (Risk Log)

Project Title: Knowledge sharing, capacity building and supporting service programme on sustainable procurement of UN/international organisations							Project Number:		Date:	
#	Risk Description	Date of Risk Identification	Risk Category	Impact & Likelihood	Risk Treatment / Management Measures	Responsible Person	Submitted/ updated by	Last Update	Status	
1	Hindrances caused by COVID-19 to project activities	18/12/2020	Social and Environmental risk	Moderate	<ul style="list-style-type: none"> <li>- The steering committee provides the guidance for necessary adjustment as required for project implementation in accordance with government guidelines on COVID-19, to ensure minimum impact of the pandemic</li> <li>- Adopt an online &amp; offline approach, if necessary</li> <li>- Postpone activities or restrict their scale</li> </ul>	National Project Director (NPD)	Project Manager	-	Initial	
2	Government commitment for financing changes	18/12/2020	Policy risk	Low	<ul style="list-style-type: none"> <li>- Shanghai Qingpu District Government is committed to support the project.</li> <li>- The project document which is a legal agreement is signed for 5 years</li> <li>- High government credibility and credit standing based on track record of previous partnerships</li> <li>- Incorporate this project into the local five-year development plan of the local government</li> </ul>	NPD	Project Manager	-	Initial	
3	Funding gaps	18/12/2020	Financial risk	Low	<ul style="list-style-type: none"> <li>- The focus would be on diversifying the funding base and also raising in kind contribution for targeted activities.</li> </ul>	NPD	Project Manager	-	Initial	
4	Lack of market interests	18/12/2020	Strategic risk	Low	<ul style="list-style-type: none"> <li>- Conduct a thorough study on the pain points of businesses including SMEs and WOBs and develop an advocacy strategy.</li> <li>- Leverage the influence of the three chambers of commerce for import and export and the Shanghai Convention &amp; Exhibition Industries Association to invite as many interested businesses as possible to participate</li> <li>- Leverage the procurement experience of the agencies of the UN and other international organizations to develop and design targeted project activities</li> </ul>	NPD	Project Manager	-	Initial	
5	Impacts of other online virtual service platforms	18/12/2020	Social risks	Low	<ul style="list-style-type: none"> <li>- Leverage the influence and global presence of the UN system</li> <li>- Make the services of the centre more distinctive and deliver better services</li> </ul>	NPD	Project Manager	-	Initial	
6	Not achieving buy in and support from other UN agencies	02/06/2021	Implementation risk	Low	<ul style="list-style-type: none"> <li>- Keep in close contact with other UN agencies, respond to their suggestion and make adjustment accordingly</li> </ul>	UNDP, UNOPS	Project Manager	-	Initial	
7	Perception from other Member States that China is being favoured by the UN	02/06/2021	Policy risk	Low	<ul style="list-style-type: none"> <li>- Focus on communications and advocacy to inform the SME, WOBs and sustainable procurement thrust of the project.</li> <li>- Ensure that as part of risk management to be inclusive of all entities and also carefully review activities to ensure that they do not provide an unfair advantage</li> <li>- Ensure all tools, trainings, and publications through the projects are widely available as public goods.</li> </ul>	UNDP, UNOPS	Project Manager	-	Initial	

#### 4. Gender Mainstreaming Action Plan

Action	Indicator	Target	Benchmark	Responsible Party	Data Sourced From
Output 1: Establish a service, information-sharing and capacity building platform for sustainable procurement of UN/international organisations					
Ensure the information platform publishes WOB-specific articles and information	Whether WOB-specific articles are published or not	Yes	No	Project Office	Project progress reports
Output 2: Advocacy and engagement on procurement					
Ensure a sizable proportion of WOB representatives and women in the events	The number of WOB representatives and women, and their proportion of the total participants	At least 30%	0	Project Office	Debrief (and the list of participant names)
Hold a women-themed side meeting during an international procurement seminar	Whether a women-themed side meeting is held or not	Yes	No	UNOPS/UNDP	Debrief and project progress reports
Output 3: Develop capacities on sustainable procurement					
Hold WOB-specific capacity building training	The number of WOB-specific capacity building training sessions held	At least once	0	UNOPS/UNDP	Work plans and project progress reports
Output 4: Develop networks for procurement and support services					
Seek to establish partnerships with women's organizations, solicit opinions on gender mainstreaming from them and conduct women-specific project activities	Whether a partnership has been established with at least one women's organization or not	Yes	Opinions solicited, but no official partnership established	UNOPS/UNDP	Cooperation agreements and project progress reports

## 5. Capacity Assessment

The project design team of UNDP, UNOPS and CICETE has conducted a comprehensive evaluation of the overall economic and social development, geographical position and environment, industrial structures, financial conditions, taxation and other sustainable development matters of Qingpu District and its Xujing Town, as well as the business operations of the funding contributor: Shanghai Glorious Investment Development Co., Ltd.

Situated in the western part of Shanghai and adjacent to the Hongqiao transport hub, the Qingpu District enjoys a good geographical position and favourable traffic conditions. It is the permanent place to stage the CIIE and an integral part of the Hongqiao International Hub. The Qingpu District People's Government is seizing the opportunity presented by the national strategy on the CIIE to build an international cooperation platform for "global buy" in the district. It is also planning to build on this to establish another international cooperation platform, for "global sell", for which international public procurement, including UN procurement, would be an important market. Hence, the Qingpu District People's Government has been eager to implement this project to put these plans into effect.

The Qingpu District has abundant exhibition and convention resources where the National Exhibition and Convention Center (Shanghai) is located. For any large international convention/exhibition, meetings and exchange events to be held under this project, Qingpu can provide a great platform for demonstration, communication and services. In turn, this project will support the local exhibition/convention industry to get stronger in a way that ensures win-win outcomes for both sides.

As an exemplar of the transformation and development of the express delivery industry in China, Qingpu District has a solid foundation for logistics and warehousing and a well-functioning set of public service facilities. It has been included in the list of the first areas where to build national logistics hubs in China. The UN/international public procurement has high requirements on the logistics and warehousing capacity of vendors, one of the hurdles to the direct procurement participation of SMEs. The knowhow and capacity of the district in this area would directly support one of the objectives of the project, the establishment of a network for providing services to UN/international public procurement, of which warehousing and logistics service networks are a key element.

Also, the Qingpu District is home to some leading industries, competitive industrial clusters and a scientific innovation centre. It is an important area of the Demonstration Zone for Integrated Ecological and Green Development in the Yangtze River Delta (national strategy), also an important place of origin for products required for UN/international public procurement. Such a location will allow UN/international organization procurement agencies to get closer to vendors in Shanghai and the entire Yangtze River Delta. A series of capacity building training sessions will help reduce intermediary procurement procedures and encourage more efficient direct procurement.

On the whole, the Shanghai Qingpu District People's Government has been supportive and keen to cooperate on the project. It has extensive international cooperation experience as well as a full-fledged system and a strong execution capability for providing a full range of services to national major conventions and exhibitions. With a solid industrial foundation and good resources, it can engage in effective interactions with this project and produce great spillover effects that would lead to a win-win situation. The district also has a strong financial position.

The leadership of Shanghai Glorious Investment Development Co., Ltd. has a strong sense of corporate social responsibility and manifested strong desire for participation in this project. Its team has rich experience in international communication and strong execution.

In terms of cooperation capabilities, however, both these two stakeholders lack experience in working with UN organizations and understanding of the particularity of UN/international public procurement and the rules of managing and implementing projects in collaboration with the UN. To effectively fill this gap, training and coaching will be provided to the team participating in the project daily management in the early stages of the project, to be enhanced by a jointly-established project management office and the assignment of a chief technical advisor. UNDP, UNOPS and CICETE will also provide strong technical support to the project management and implementation throughout the project.

During the project implementation period, a capacity assessment will be carried out on other institutions, industrial organizations and businesses participating in the partnership.

This project is expected to deliver a variety of benefits to the region, including but not limited to:

(1) Significantly higher chances for local businesses to directly participate in UN/international organization public procurement.

(2) Facilitate procurement from neighbouring areas and China for the UN and other international organizations.

(3) Industrial spillover effects for the region. This project will support economic development and international trade of the local area, as well as the country. The long-term vision of this project is to establish a procurement agency affiliated to the UN, or to attract UN and other international organizations to establish their Asian regional procurement hubs, operational and/or warehousing centres in the area, thereby forming an industrial cluster featuring international procurement, focused on social and environmental sustainability, with a complete industrial supply chain and service network.

(4) Opportunities for promoting sustainable procurement and developing innovative products.

(5) Potential investment opportunities for the region.

(6) More job opportunities created locally, with a positive impact on income and consumption.

(7) Greater communication and cooperation with the international community and increase the level of internationalisation.

(8) Increased international influence and popularity of the region.

## **6. Terms of Reference for the Project Steering Committee**

As the highest decision-making body for project management, the steering committee of this project provides strategic and policy guidance on this project, approves the annual work plan and budget, supervises execution progress and resolves any challenges and issues that may arise. It fulfils its responsibilities by holding (regular or unscheduled) steering committee meetings and dispatching its members to participate in project review.

### **6.1 Responsibilities of the Project Steering Committee**

- 1) Keep abreast of the policies and the general trend, and work on all the major matters concerning this project;
- 2) Supervise the project office, and work on and resolve any challenges and issues that may be encountered;
- 3) Supervise, examine and approve project results, and review the work report and final results report submitted by project experts;

- 4) Ensure all members of the steering committee are well informed of the execution and implementation of this project; any reports and materials submitted to the steering committee meeting for review shall be sent to all parties concerned one week in advance; and any decisions made at the meeting and its minutes shall be sent to all parties concerned in time for their confirmation and be properly filed;
- 5) Based on the scale and complexity of the project, establish the frequency and mode of holding meetings on a reasonable basis and at least once a year. Should any major events occur or major adjustments necessary, meetings could be held at any time;
- 6) Review and approve major documents such as the project annual work plan (including making cross-section and cross-year adjustments to the budget if needed) and the annual work report. Any budget revision reviewed and approved by the steering committee would be deemed the legal basis for the implementation of the project;
- 7) Coordinate internal and external relations of this project, to ensure coordinated partnerships.

## **6.2 Mechanism of the Project Steering Committee**

The steering committee will convene once a year, to review the results/output and implementation progress of this project, examine and approve the annual work plan and budget adjustments. It shall make proper schedules to ensure the meeting is attended by the representatives of all parties concerned. Should anything unusual occur, any members of the steering committee would be entitled to request an ad hoc meeting. Anyone making such a request shall communicate with the other members in time, and those unable to attend the meeting can provide their opinions on the matters to be reviewed by other means (such as email, WeChat or video conferencing).

The steering committee meetings would be facilitated by the staff from CICETE or the UNDP representative office and decision making would be based on unanimity. Should all members fail to reach consensus following adequate consultations, UNDP and CICETE would have the final say on the topics under review.

Meeting minutes would be required to be produced after each steering committee meeting, which would become official documents of the steering committee after being signed by all its members.

## **7. Terms of Reference for National Project Director**

The national project director would be the primary responsible for the implementation of the project. S/he will be appointed on a part time basis by the Shanghai Qingpu District People's Government. S/he will also be a member of the steering committee of this project.

### **7.1 Responsibilities**

The national project director is responsible for developing the annual work plan and submitting it to the steering committee for review and approval, ensuring that the financing pledged by all parties based on the annual work plan approved by the steering committee is received on time. Finally, s/he is also responsible for managing and supervising the project implementation and ensuring the project results are achieved as expected. For any project activities to be conducted, the national project director shall notify CICETE by issuing an official letter for the consent. Following the letter, the national project director may give the project office director written authorization to sign documents on daily project activities.

### **7.2 Qualifications**

- (1) Educational requirement: bachelor's degree or higher;
- (2) Previous work experience at a general administration department of the government, familiarity with the economic and social development plans and strategic priorities of the region, and a thorough understanding of how the government makes and executes decisions;
- (3) At least ten years of work experience in leadership and management, especially in leading general planning and managing inter-departmental general project implementation;
- (4) Ability to organize, coordinate, communicate and manage human resources;



(5) Basic computer literacy (word processing, spreadsheet and database, etc.)

## **8. Terms of Reference for Project Office Director**

The project office director will be appointed by the Shanghai Qingpu District People's Government and report to the national project director. S/he will be responsible for managing and implementing this project and organizing and conducting project activities in accordance with work plans and budget to produce high-quality output/results specified in the project document on schedule. The project office director may attend the steering committee meeting when necessary.

### **8.1 Responsibilities**

- (1) Manage daily administration, resource mobilization, division of labour, monitoring and evaluation of the project implementation and progress;
- (2) Timely report to the national project director the project implementation progress and any issues and risks identified;
- (3) Help develop the annual and quarterly work plans of this project, and apply for project funding in compliance with the procedures of UNDP and CICETE;
- (4) Implement project activities in line with established decision-making and execution procedures, schedule them and ensure the funding, personnel and equipment required in time;
- (5) Attend project meetings, and draft and submit project progress and summary reports;
- (6) Take sole responsibility for the use of project funding and submit financial reports as required on time.

### **8.2 Qualifications**

- (1) Educational requirement: bachelor's degree or higher;
- (2) At least ten years of work experience, especially in managing international cooperation projects, and familiarity with such projects;
- (3) Ability to draft well-written project reports;
- (4) Excellent coordination, management, communication and organization skills;
- (5) Basic computer literacy (word processing, spreadsheet and database, etc.);
- (6) Ability to work in a team and manage a team.

## **9. Terms of Reference for Chief Technical Advisor**

The chief technical advisor works under the leadership and supervision of the national project director, is responsible for offering professional technical advice on project execution and implementation, assisting with work plan development, reviewing project output quality, and providing guidance on project monitoring evaluation and report.

### **9.1 Responsibilities**

- (1) Offer professional advice on any technical issues relating to the project that the national project director, the project office director and staff may encounter;
- (2) Contribute to the development of work plans and progress and summary reports, provide professional review on their content and put forward opinions as the technical lead;
- (3) Provide professional guidance on the establishment and operation of the information centre and database;
- (4) Provide technical guidance on the design of the training curriculum and participate in technical meetings;
- (5) Assist the project office director in drafting various reports in each stage of the project implementation.

### **9.2 Qualifications**

- (1) Master's degree or higher, with professional background and expertise in computer and database design, development, operation and maintenance;

- (2) At least seven years of work experience, and familiarity with management, implementation and operation of international cooperation projects;
- (3) Good command of English, and excellent verbal and written communication skills;
- (4) Ability to coordinate and work in a team.

