



PROJECT DOCUMENT
[China]

Project Title: UNDP-DLF Joint Programme for Supporting NGOs in China on Marine Conservation

Project Number: 00128511(Output ID)/00138351(Award ID)

Implementing Partner: UNDP

Start Date: October 4, 2021 **End Date:** December 31 2025 **PAC Meeting date:** September 13 2021

Brief Description

The UNDP-DLF Joint Programme for Supporting NGOs in China on Marine Conservation is designed to help improve ocean and coastal management practices amidst significant challenges such as unsustainable fishing, marine environment pollution and ecosystem collapse.

China's coastal and ocean areas have played a leading role in the rapid growth of the nation's economy in recent decades. China has made much progress in coastal management and conservation in recent decades. However this rapid growth has brought some adverse environmental and socio-economic impacts requiring coastal and ocean management practices to be further improved. Multiple conflicts have arisen at the national and local level between mariculture and seaport/shipping development, tidal land reclamation, the use of wetland resources, coastal mining, protection against erosion, waste disposal, protecting ecosystems and human health, offshore oil development and fisheries, coastal underground freshwater and land uses.

China is now at the threshold of a major transformation in how it manages its ocean and coastal regions. For decades, many local governments prioritised activities that could achieve short-term economic and food security goals. The primary emphasis has thus been on increasing the production of aquaculture, expanding the fishing effort, and reclaiming coastal wetlands for industrial and other uses. However, the benefits of increased production as a result of these activities is now reaching its limits. More than half of China's coastal capture fisheries are overharvested and depleted. More than 60 percent of China's natural coastal wetlands have been lost to development projects.

As China has begun to re-think its approach to the management of its ocean and coastal regions, there is a significant opportunity for foundations, non-governmental organizations (NGOs) and international experts to contribute to China's efforts in improving its management of capture fisheries, aquaculture and wetlands as part of the country's efforts to establish a marine eco-civilization and a sustainable blue economy. This opportunity needs to be pursued by supporting significant growth in institutional and human capacity within China, and with the active participation of local communities.

UNDP China in cooperation with, and with financial support from, the David and Lucile Packard Foundation will build the capacities of China's NGOs to strengthen their ocean & coastal management and marine conservation capabilities, with a view to helping the country create a marine eco-civilization. The focus of the project will be on supporting NGOs on coastal and marine conservation, especially supporting projects led by women and empowering women's participation in sustainable management of coastal and marine resources. It will leverage the existing UNDP/GEF SGP modality, which will provide grants directly to local NGOs and community-based organizations that improve and protect the marine environment and coastal ecosystem. The project will result in community-based and biodiversity-friendly sustainable models, best practices and approaches which promote conservation and the sustainable use of threatened ecosystems and species in important coastal/ marine ecosystems.

Contributing Outcome (UNDAF/CPD, RPD or GPD):
UNSDCF Outcome 3: People in China and the region benefit from a healthier and more resilient environment.

Indicative Output(s) with gender marker²:
GEN 2

Total resources required:		1,500,000
	Donor (David & Lucile Packard Foundation):	1,500,000
Unfunded:		0

Agreed by (signatures):

UNDP

Devanand Hamiah

Deputy Resident Representative

Date *September 15, 2021*

I. DEVELOPMENT CHALLENGE

China's "blue economy" - the wealth and resources that are produced and consumed through sustainable activities in the marine sector - plays a central role in the country's development. China's coastal provinces occupy just 14 percent of its land area, but comprise half the population of the country and two thirds of its economic activity. The ocean is a major source of China's food production, employment and economic activity. China's coastal and marine resource management has significant global implications as well. No country will have a greater influence on ocean conservation and the future of global capture fisheries and aquaculture than China. China has the largest domestic and distant water fisheries in the world, is the largest source of aquaculture production, and is the largest consumer and processor of seafood.

China is now at the threshold of a major transformation in how it manages its ocean and coastal regions. For decades, the local governments in the country have prioritised activities that could achieve short-term economic and food security goals. The primary emphasis has thus been on increasing the production of aquaculture, expanding the fishing effort, and reclaiming coastal wetlands for industrial and other uses. However, the benefits of increased production as a result of these activities is now reaching or surpassing its limits. More than half of China's coastal capture fisheries are overharvested and depleted. More than 60 percent of China's natural coastal wetlands have been lost to development projects. In addition, pollution carried by rivers to China's coasts has produced some "dead zones" and contaminates seafood produced in the rapidly growing coastal aquaculture industry.

Faced with this reality, China's Central Committee and State Council have recognized the importance of creating an "ecological civilization" in China and nowhere is this goal more important than with respect to China's ocean and coastal regions. In July 2015, the State Ocean Administration issued a marine ecological civilization plan for China. On September 21st, 2015 the Communist Party of China's Central Committee and the State Council published a reform plan for promoting ecological progress which prominently featured ocean and coastal regions. The plan included the need to protect and restore wetlands, improve fisheries' management, limit distant water fishing, and control the scale of aquaculture. As China has begun to re-think its approach to the management of its ocean and coastal regions, there is a significant opportunity for foundations, non-governmental organizations (NGOs) and international experts to contribute to China's efforts to improve its coastal and marine management as part of the country's efforts to establish a marine eco-civilization and a sustainable blue economy. But that opportunity cannot be pursued without significant growth in institutional and human capacity within China.

UNDP through its GEF Small Grants Programme and David and Lucile Packard Foundation are collaborating to address the challenges through a joint programme with its focus on supporting local communities and NGOs, specifically empowering women's participation in sustainable management of coastal and marine resources.

GEF Small Grants Programme

The Small Grants Programme (SGP) is a corporate programme of the Global Environment Facility (GEF) implemented by the United Nations Development Programme (UNDP) since 1992. SGP grant making in over 125 countries promotes community-based innovation, capacity development, and empowerment through sustainable development projects of local civil society organizations with special consideration for indigenous peoples, women, and youth. SGP has supported over 20,000 community-based projects in biodiversity conservation, climate change mitigation and adaptation, prevention of land degradation, protection of international waters, and reduction of the impact of chemicals, while generating sustainable livelihoods. The programme started in China in 2009 and has supported 128 NGO or Community-based Organization implemented projects in 25 provinces, autonomous regions, and municipalities in China.

The David and Lucile Packard Foundation

The David and Lucile Packard Foundation is a family foundation that is guided by the business philosophy and personal values of Lucile and David Packard, who helped found one of the world's leading technology companies. The Foundation makes grants at the local, state, national, and international levels, supporting innovative non-profits to create meaningful impact across the globe. The Foundation works on the issues its founders cared about most: improving the lives of children; enabling the creative pursuit of science; advancing reproductive health; conserving and restoring the earth's natural systems; and supporting and strengthening local communities in the San Francisco Bay Area.

The Foundation has been supporting work on marine conservation in China since 2014. The goal of the Packard Foundation's China Marine Strategy is to strengthen China's capacity for coastal and marine conservation and management in order to help the country create a marine eco-civilization. The Strategy focuses on: a) strengthening collaboration between Chinese and international experts on policy and management issues surrounding the ocean; b) building leadership and NGO capacity on ocean conservation issues; and, c) improving communications and public awareness regarding ocean issues in China.

Objective

The degradation of natural resources both results from, and contributes to the global challenges of climate change, land degradation and marine life exploitation/extinction. These changes impact everyone, regardless of gender, race, age and level of income. However, the extent to which degrading resources and increasing instability affects individuals varies depending upon several key factors, most significantly, gender and economic status.

- As natural resources decline, women devote more and more of their time and energy to obtaining resources for both sustenance and livelihood needs.
- Both shifting climate patterns and major climate events increase communities' vulnerability and reduce women's ability to access key resources.
- This role differentiation gives rise to different vulnerabilities and affects the ability of the different genders to adapt to livelihoods opportunities.
- Importantly, men often migrate out of fishing communities resulting in an increase of female headed households.

The Government of China has continuously tried to improve women's livelihoods and standard of living, to highlight their active role in protecting and improving the environment, and to support their right to live in a sound environment. At present, a significant number of women are serving at various levels in government departments related to marine conservation, with occupying leading positions on marine monitoring and working as law-enforcement officials.

The state encourages women to take an active part in marine conservation activities led by non-governmental organizations. With the support of the government, the All-China Women's Federation has conducted social mobilization and publicity campaigns. In addition, some marine conservation NGOs that were initiated and participated in by women, have urged enterprises to assume more social responsibilities, promote green commercial practices and lifestyles, and played an active role in training and mobilizing the public to participate in marine conservation advocacy/activities.

The purpose of the joint programme of UNDP/GEF SGP and The David and Lucile Packard Foundation is to support NGOs in China to adopt biodiversity/marine conservation sustainable best practices with the participation of local communities. The programme will have a specific focus on supporting projects led by women and empowering women's participation in sustainable

management of coastal and marine resources and promoting sustainable livelihood opportunities that do not negatively affect marine biodiversity or ecosystems.

The project implementation will consist of using the existing UNDP/GEF SGP modality, which will provide grants of up to \$50,000 for each project directly to local NGOs and community-based organizations that produce sustainable marine conservation practices/models to improve and protect the marine environment and coastal ecosystems.

II. STRATEGY

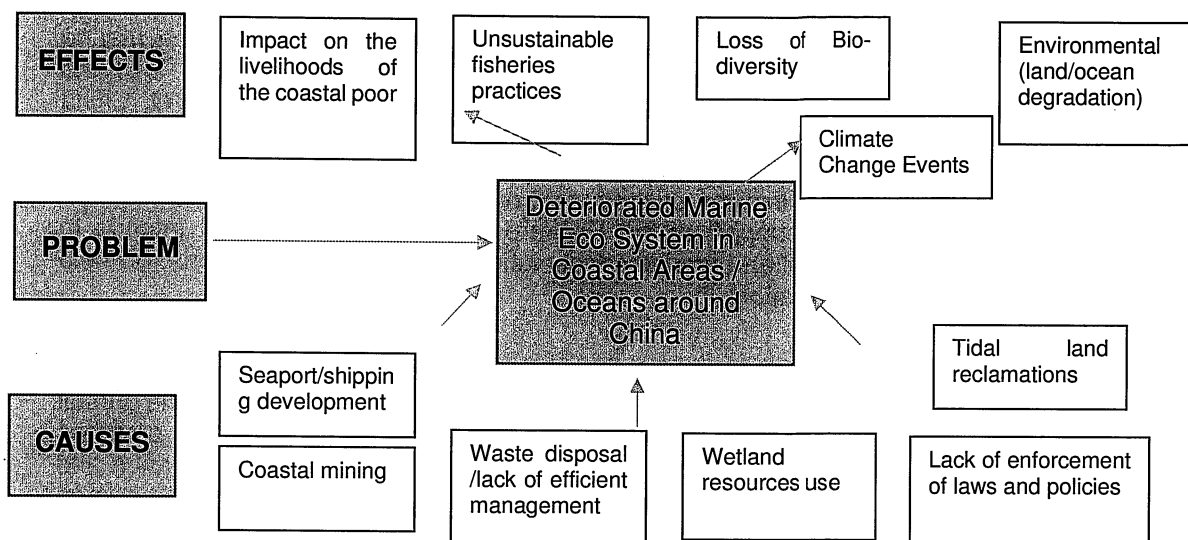
As the world's most populous developing country, China is grappling with "unbalanced and inadequate development and the peoples' ever-growing need for a better life," according to President Xi Jinping. The economy faces further risk of a slowdown, with a deteriorating global environment amid the COVID-19 outbreak. This has had an immediate impact on achieving the Sustainable Development Goals, especially in preventing a relapse into extreme poverty and addressing multidimensional poverty.

In China women are reported to constitute 33 percent of the rural aquaculture workforce. Most of the conservation and fisheries resource management efforts have focused on extractive processes at the start of the value chain, and less on , consumer-based approaches at the end of the value chain, without complete understanding of the economic, social and cultural dynamics of those actions and/or how they could influence the rest of the system. Women are key players throughout the fisheries value chain from extraction through consumption, but they are to some extent excluded from decision-making and resource management processes.

Globally women represent 47% of the fisheries workforce, mostly in the processing and trading sectors, and often in low-income, informal roles. Women also fish throughout the world, generally with basic gear and operating from non-mechanized boats. Women make over 80% of all purchases in the developed world. However, efforts to systematically engage women in coastal fisheries co-management are scarce, and their participation in decision-making processes, even those that directly impacting their livelihoods, is limited.

China has lost about 60 per cent of its natural coastal wetlands. According to 'The Project Results Report of Strategic Research on the Management of Coastal Wetland Conservation in China' , the mangrove area decreased from 50,000 hectares in 1950s to 22,000 hectares in 2000 and then increased to 28,900 hectares due to the governmental policy of strengthening mangrove conservation. In 2020, the government announced The Specific Action Plan of Mangrove Conservation and Restoration (2020-2025), which sets the target of creating and restoring 18,800 hectares of mangrove forests by 2025. According to 'Marine Environment Bulletin 2015' and ' Marine Environment Bulletin 2020', the volume of effluents directly discharging into the sea has almost doubled from 2015 to 2020. In 2020, the government proposed to build 1467 "beautiful bays" in China by 2035, which will focus on pollution control, water quality improvement and ecological conservation and restoration in the bays of coastal area. All these strategies and policies will bring the opportunities to NGOs/CBOs to participate in coastal and marine conservation.

Problem Tree with Root Cause Analysis:



Theory of Change:

IF significant numbers of resource users and beneficiaries are motivated to actively participate and collaborate in ecosystem-scale and equitable management for sustainable fisheries and biodiversity conservation

AND management/national/local institutions, enabled by an inclusive and participatory policy and practice environment, are knowledgeable, capable and equipped with resources to implement an ecosystem approach to fisheries and biodiversity management

AND supply chain and other relevant private sector actors increase investments in sustainable fisheries

THEN an ecosystem-scale system will be in place and characterized by:

Women led NGOs who are capable of managing fisheries and ecosystems;

Stakeholders who agree on gender fair policies, strategies, plans, incentives for more sustainable and resilient fisheries at ecosystem scale;

Managers who adaptively and effectively implement these agreements through sustained incentives and enforcement;

Apex organizations that are capable to replicate and expand improved management effectiveness

Which **WILL THEN** result in increased compliance of resource users and beneficiaries with agreed upon practices

And **IN TURN** will reduce threats to fisheries and marine ecosystems, leading to an increase in fish biomass and biodiversity. This increase in fish biomass will provide ecosystem services that benefit human well-being for their livelihoods and improve resilience and meeting the SDGs.

International Foundations and NGOs have worked successfully in China to help the government address its challenges in the area of climate change and preserving biodiversity.

The situation that China now faces regarding its management of fisheries, aquaculture, and coastal development provides an important entry point. The central government has placed a high priority on increasing production of seafood because of its economic, nutritional, and food security benefits. At the same time, the Five Year Plan emphasizes the critical importance of creating a marine ecological civilization because the current trends, unsustainable expansion of aquaculture, loss and degradation of coastal habitats and overharvesting of fisheries – are not sustainable. Yet, China does not have the policy, management, and technical expertise to address the sustainability issues in this sector. There is relatively low international collaboration with experts that could provide this expertise. There is limited capacity within the philanthropic or NGO community in China that can capitalise on this opportunity. With support of the Packard Foundation, the project intends to strengthen China's capacity for coastal and marine conservation and management in order to help the country create a marine eco-civilization.

The theory of Change is based on the premise that China's central government is supportive of the creation of a marine eco-civilization but without ready access to expertise that can help in the pursuit of this goal, and without a stronger set of NGOs that can support and motivate this agenda, progress will be slow. In light of this, the project will focus on strengthening international collaboration and building leadership and institutional capacity in China. The focus will primarily be on the human and institutional capacity within civil society, including foundations, NGOs, and other relevant stakeholders.

The project will support work aimed at building leadership and NGO capacity on ocean conservation issues. Because the focus on sustainability of the ocean and coastal regions has not been adequate in China, recognized ocean conservation leaders, and NGOs working on these issues should be further developed, and there is limited 'pipeline' of young people seeking to work on ocean conservation issues in NGOs or in businesses. Without this basic human and institutional capacity in place, public awareness of ocean issues is relatively low and there is little civil society support in provinces and cities that can help the central government achieve its goals for a marine eco-civilization. Chinese and international philanthropy is uniquely positioned to help support ocean conservation leaders and to strengthen NGO capacity in ways that can support the government's goals for a marine eco-civilization.

There is an important role for improved communications and public awareness regarding ocean issues in China and this will be an integral part of both the work to build international collaborations and to build leadership and NGO capacity. On the one hand, the leaders, NGOs, and experts involved in this work can be among the most effective messengers on these issues. On the other hand, improved communications and public awareness will help to engage a broader set of individuals in ocean conservation in China and help to focus research and policy-making on the most pressing sustainability needs. The theory of Change is also premised on the idea that there is a willingness of other donors to increase their support for ocean and coastal conservation in China. Significantly, more philanthropic funding will begin to flow to these institutions from both domestic and international sources. The project's budget is quite small in relation to the scale of the challenge, but it is hoped that the project results will catalyse more funding from other donors in the coming years.

III. RESULTS AND PARTNERSHIPS

Expected Results

The project will measure its results based on the capacities of communities and local NGOs strengthened, and the marine environment and coastal habitat improved with the following outcomes/broad indicators:

Indicator 1: Number of direct project beneficiaries disaggregated by gender (individual people).
Target – 3,000

Indicator 2: Number of indirect project beneficiaries disaggregated by gender (individual people). Target – 60,000

Outcome 1 - Community-based models and biodiversity friendly practices and approaches promoted for conservation and sustainable use of threatened ecosystems and species in important coastal/ marine ecosystems

Indicator 3: Marine protected areas under improved management effectiveness (hectares) (GEF core indicator 2.2). Target – 600 hectares

Indicator 4: Area of marine habitat under improved practices to benefit biodiversity (hectares; excluding protected areas) (GEF core indicator 5). Target – 600 hectares

Outcome 2- Sustainable practices improved productivity, food security, and livelihoods of small-scale fisheries and fish workers empowered for fisheries management

Indicator 5: Area of seascapes under sustainable fisheries management (hectares) (GEF core indicator 4.3) – Target – 600 hectares

Indicator 6: Number of projects supporting linkages and partnerships for sustainable production practices and supply chain management in small-scale fisheries. Target - 6

Outcome 3- Coastal and marine environment protected from land-based sources of pollution and marine waste reduced

Indicator 7: Quantity of solid waste, sewage to/in the seas directly avoided. Target – 6000 kg

The projects results directly feed into the following UNSDCF / UNDP CPD Outcomes / Outputs:

UNDP CPD Output #1 / UNSDCF Outcome 3: People in China and the region benefit from a healthier and more resilient environment.

CPD Output 2.1: Adaptive policies developed at target level (subnational), financed and applied for natural-based systems to align with multilateral agreements and transboundary platforms

Indicative Indicator 2.1: Level of alignment of new policies and regulations to promote gender-response climate change adaptation and mitigation, and biodiversity conservation, with the needs to fulfil to international commitments Baseline: 1 (2020) Target: 3 (2025)

CPD Output 2.3: Capacities of select pilots strengthened to adopt sustainable biodiversity policies

Indicative Indicator: Number of pilots with adopted sustainable and gender-sensitive biodiversity-friendly approaches and practices Baseline: 9 (2020) Target: 5 (2025)

The results are in alignment with the China's SGP Country Programme Strategy OP7 listed below:

- 1) maintaining and improving the coastal ecosystem service; conserving coastal non-commercial forests, mangroves, marine species and birds including economic fish:
Indicators: 5000 hectares of marine habitat under improved practices to benefit biodiversity
- 2) land-based pollution controlled effectively through the participation of CSOs and local communities:
Indicators: 16000kg waste/sewage avoided into the sea
- 3) increase community income through sustainable livelihood development

The taxonomy for the GEF will include but not limited to sustainable fisheries, sustainable aquaculture, land-based pollution control, coastal habitat conservation and management, marine protected areas, marine NGOs networking and exchanges, gender equality.

Criteria used to select grantees will include the focal issues that they are working on, capacity to carry out the work described in their proposal, and gender of the leadership of the organization.

Resources Required to Achieve the Expected Results

The Results and Resources Framework in section V explains the resources required along with the human resources, financial contributions from different stakeholders.

This project will receive USD1.5million from The David and Lucile Packard Foundation. The GEF SGP China programme will provide technical support and management to this project. The grantee NGOs will provide cash and in-kind co-financing to each project on the ground by mobilizing local partners including local government, academic institutes, local communities and other donors. UNDP CO will provide project management support, communication support and financial management support to project implementation. Since this project is built on existing International Waters portfolio of GEF SGP China, the GEF SGP country programme will also provide capacity building, NGOs networking and facilitating NGOs-government dialogue on marine issues.

Partnerships

In alignment with the UNDP GEF/SGP strategy, the project intends to foster action at the local level by engaging civil society and community-based organizations, including women groups, indigenous peoples, youth, and persons with disabilities. The multi-stakeholder alliances are essential to deliver global environmental benefits and contribute to the GEF Programming Directions, UNDP’s Strategic Plan 2018-2021, and national priorities to achieve the UN Sustainable Development Goals.

A number of national and international players are supporting the Government of China in its efforts to improve marine and costal conservation under the UNDP GEF/SGP modality. The theory of change is based on the premise that China’s central government is supportive of the creation of a marine eco-civilization, which is not possible without strong support and participation at the community level. Hence, this partnership with the David and Lucile Foundation is part of its existing marine conservation strategy to support China. The project will find best practices and innovative solutions in partnership with a network of strong and well-established NGOs that will support and motivate this agenda. It will also build human and institutional capacities within civil society, including foundations, NGOs, and other relevant stakeholders at the community level.

UNDP through this project will coordinate with other agencies and organizations working in projects to support China to reduce land-based pollution and strengthening the value chain of marine products. These include: World Bank (approved loan of US\$430 million for the China Plastic Waste Reduction Project), UNIDO (marine fishery value chain project to improve local livelihood), etc. UNDP work with other UN agencies to leverage their projects and programmes to contribute to overall impact of this project.

Risks and Assumptions

Risks and Assumption	Degree of Risk	Probability of Risk,	Mitigation Measures
Low awareness of NGOs and CBOs to address global environmental problems in selected landscape / seascapes	Medium	Medium	The Project Team works closely with all grantees to help build capacities by learning from each other(peer-to-peer), and working in a flexible manner that responds to the

			strengths and comparative advantages of grantees. The National Steering Committee (NSC), with representation from civil society leaders, government institutions, and academic institutes further provide support.
Capacity of NGOs in financial management of grants	Medium	Medium	The selection criteria of NGOs includes prudent / sound financial management practices. Micro Assessment of NGOs will be undertaken before signing up Agreements.
Conflict between environmental protection and economic development and unwillingness from NGOs to implement the activities.	Medium	Medium	The Project will prepare a communication plan advocating that investing in environmental protection will promote economic development and the quality of life of local communities.
The natural disasters in project areas	Low	Low	The project activities will be aligned/ adjusted with the needs / objective of the local conditions.
Government unwilling to actively engage with the NGO communities	Low	Low	UNDP engages Government of China closely during the design/implementation phase of the project.

Stakeholder Engagement

The NGOs and community-based organizations are the most important stakeholders for this project to engage local communities and the public in marine conservation and the sustainable use of marine resources. They are the bridge between government and the public and play an important role in mobilizing actions on the ground and raising public awareness on marine conservation.

The central, provincial and municipal governments are important stakeholders for policy support and guidance. Since the central government, provincial and municipal governments have jurisdiction over various aspects of coastal land and water uses, planning, licensing and enforcing local regulations and standards, these entities are significant stakeholders with the power and authority to control and regulate the actions of both public and private sector enterprises operating in the coastal zone.

The coastal communities are stakeholders that derive benefit directly and indirectly from the various services of the coastal ecosystems. (e.g. agriculture, mariculture, tourism and for subsistence). At the same time, these communities are affected by ecosystem changes occurring as a result of both their own actions and those of others. For example small scale tourist businesses, or mariculture operations that depend on the quality of the marine environment can be adversely impacted by red tides and harmful algal blooms that cause mass mortality of marine organisms and human health problems. The projects intends to build on the already existing partnerships with fisheries associations, commercial mariculture companies and fisheries co-operatives under the already existing UNDP/GEF Programme. It would include them in workshops, publicity campaigns, and in implementation activities related to the marine conservation of the selected NGOs.

Several international organisations and programmes have been active and supporting the Government of China e.g. UNDP, UNEP, NOWAP, PEMSEA, IMO, WWF etc. Relevant existing MOUs will be utilised to find synergies with their existing projects/activities.

South-South and Triangular Cooperation (SSC/TrC) and Knowledge Sharing

The project will look for opportunities to link up closely with International Waters Learning Exchange and Resources Network (IWLearn) and other knowledge sharing platforms, and under the GEF/SGP projects to exchange experiences and learnings on good/best practices, lessons learned, and innovative solutions to common problems across the GEF International Waters portfolio. The international organisations and foundations e.g. UNEP, UNDP GEF Partners, UNEP, NOWAP, PEMSEA, IMO, WWF, ADB and other marine and ocean conservation networks and alliances will be invited to the key meeting e.g. Project Steering Committee Meetings to gain from their experiences and apply new knowledge, practices and technological interventions, wherever applicable.

Sustainability and Scaling Up

The GEF/SGP projects in China have received international and domestic awards including UNDP Equator Prize, Ford Conservation & Environment Grants, China Social Innovation Award, Green China Annual Figure, and National Water Conservation Figure and so on. These Awards have helped the SGP grantee partner to draw attention to community-based conservation and to replicate and upscale their activities. The project will follow the same strategy as other SGP projects, where they have used the seed funds to leverage other resources from local government, academic institutes, private sectors and local communities. The project will show “tangible” and desirable results based on the solutions to other communities and regions with similar environmental problems, and it will also promote the integration of local government, community, and other funding mechanisms to solve local marine conservations issues.

The project is based on past experience, wherein the strict project management and reporting procedure implemented by SGP enabled the many grantees and partners to express that they can handle other projects after implementing SGP. A similar approach has therefore been designed for the implementation of this project.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

The project would adopt community-based approaches/models, which are inherently cost-effective in their utilization of existing resources and to untapped resources thereby providing a good model for efficiency and sustainability. The consultative and participatory processes would provide direct access to funds, valuable lessons and solutions that are relevant to a more communities under similar situations within the areas of projects implementation.

Project Management

Low value grants/small grants

A key component of the project will be the disbursement of small grants for selected NGOs in order for capacity development in marine conservation. The country office is currently

implementing the GEF SGP project through UNDP direct implementation. The small grants funds administered under this project will utilize the same call for proposal, selection and disbursement processes followed by the GEF SGP under the guidance of the National Steering Committee (NSC).

Basic information of the low value grants:

1. **The total amount of the project budget that will be allocated to LVGs:** 1.2m.
2. **The maximum amount of each grant:** 150,000.
3. **The intended purpose of the LVGs that will be awarded through the project:** to build the capacities of China's NGOs to strengthen their ocean & coastal management and marine conservation capabilities, with a view to helping the country create a marine eco-civilization.
4. **The types of entities that will be eligible to be awarded a LVG through the project:** NGOs and CSOs.
5. **The process for soliciting and reviewing grant proposals, as well as authority for deciding which entities will receive LVGs from the project funds:** The project will mostly follow the standard process from the GEF-SGP, see Annex 5: Implementation and Administration of SGP Grants.
6. **The criteria that the LVG proposals will be assessed against:** relevance of the action, design of the action, financial and operational capacity, sustainability of the action, and budget and cost-effectiveness of the action.

National Steering Committee (NSC)

The NSC is convened with mutual commitment of the Government of China to promote capacity development of domestic NGOs and Community Based Organizations in the area of environmental protection. The NSC is composed of the following voluntary members from government, institutes and local NGOs, which include UNDP, David and Lucile Packard Foundation, Ministry of Finance, National Forest and Grassland Administration, Foreign Environmental Cooperation Centre of Ministry of Ecology and Environment, Tsinghua University, Peking University, China Global Philanthropy Institute, Vanke Foundation, Conservation International China, and South China Sea Institute of Planning and Environment Research. NSC will guide selecting and approving small grant projects proposal; ensuring monitoring the technical and substantive quality of selected small grant projects, participating in project site visits, providing advice on small grant proposal reformulation or redesign if necessary and possible.

The NSC will follow the established practices at the country level for the small grant component of the project in accordance with SGP's global Strategic Framework. This will include disseminating information on the small grant opportunities through NSC member's own network and in general enhance visibility of the programme, and ensuring that participatory, democratic, impartial and transparent procedures for small grant project review and approval as well as all other aspects of programme implementation.

The NSC meeting will be organized 1-2 times a year to select grantee project proposals and review the project progress. UNDP will enter into Low Value Grant Agreements with selected local NGO grantees in line with its rules and procedures based on the approval results of NSC meeting.

The governance structure and the management arrangements have been detailed out in section VIII of the project document.

V. RESULTS FRAMEWORK

	<p>Intended Outcome as stated in the UNDAF/Country for Global/Regional Programme Results and Resource Framework: UNDP CPD Output #1 / UNSDCF Outcome 3: People in China and the region benefit from a healthier and more resilient environment</p> <p>Outcome indicators as stated in the Country Programme for Global/Regional Results and Resources Framework, including baseline and targets: CPD Output 2.1: Adaptive policies developed at target level (subnational), financed and applied for natural-based systems to align with multilateral agreements and transboundary platforms Indicative Indicator 2.1: Level of alignment of new policies and regulations to promote gender-response climate change adaptation and mitigation, and biodiversity conservation, with the needs to fulfill to international commitments Baseline: 1 (2020) Target: 3 (2025) CPD Output 2.3: Capacities of select pilots strengthened to adopt sustainable biodiversity policies Indicative Indicator: Number of pilots with adopted sustainable and gender-sensitive biodiversity-friendly approaches and practices Baseline: 9 (2020) Target: 5 (2025)</p>																			
	<p>Applicable Output(s) from the UNDP Strategic Plan: Outcome 2: Accelerate structural transformations for sustainable development</p>																			
	<p>Project title and Atlas Project Number: Joint Programme for Supporting Chinese NGOs on Marine Conservation (Atlas Project No. 00128511(project ID)/00138351(award ID))</p>																			
EXPECTED OUTCOME/OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS										
Outcome 1	Low Value Grants awarded to NGOs for marine environment protection		Value	Year	2022	2023	2024	2025	Year ...	FINAL										
Output 1 The capacities of communities and local NGOs strengthened, and the marine environment and coastal habitat improved	1.1 Indicator # direct project beneficiaries disaggregated by gender (individual people) 1.2 Indicator # indirect project beneficiaries disaggregated by gender (individual people)	Grantee project final report Grantee project final report	0	2021		1000	1000	1000		3000	Annual report Grantee monitoring & evaluation record Project final report									

Output 2 Community-based models and biodiversity friendly practices and approaches promoted for conservation and sustainable use of threatened ecosystems and species in important coastal/ marine ecosystems	2.1 Indicator: Marine protected areas under improved management effectiveness (hectares) (GEF core indicator 2.2)	Grantee project final report	0	2021		200	200	200	200	600	Annual monitoring report Grantee monitoring & evaluation record Project final report Project site visit
Output 3 sustainable practices improved productivity, food security, and livelihoods of small-scale fisheries and fish workers empowered for fisheries management	3.1 Indicator: Area of seascapes under sustainable fisheries management (hectares) (GEF core indicator 4.3)	Grantee project final report	0	2021		200	200	200	200	600	Annual monitoring report Grantee monitoring & evaluation record Project final report Project site visit
Output 4 coastal and marine environment protected from land-based sources of pollution and marine waste reduced	Indicator: Quantity of solid waste, sewage to/in the seas directly avoided	Grantee project final report	0	2021		2000kg	2000kg	2000kg	2000kg	6000 kg	Annual monitoring report Grantee monitoring & evaluation record Project final report Project site visit
Outcome 2	NGOs' capacities improved through UNDP support										

Output 1 NGOs capacity on project management improved	Indicator: number of NGOs trained	UNDP project annual report	0	2021	16	8	8	8	8	8	Annual monitoring report
	Indicator2.1: number of grantee M&E reports	Grantee reports	0	2021		8	8	8	8	8	Annual monitoring report
Output 2 NGOs received project monitoring and evaluation for technical assistance and project adaptation management	Indicator 2.2: number of field visits of NGOs' project site	UNDP back to office report/ UNDP project annual report	0	2021	6	6	6	6	6	6	

VI. MONITORING AND EVALUATION

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

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Annually	Slower than expected progress will be addressed by project management.		
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.	Annually	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Every two years	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board		

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

Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSDCF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Terminal Evaluation		SP output 2.4.1	UNSDCF Outcome 3:	2025	Government partners, donor	USD 7,000

VII. MULTI-YEAR WORK PLAN

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

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (US\$)					RESPONSIBLE PARTY	PLANNED BUDGET (US\$)	
		Y1	Y2	Y3	Y4	Y5		Funding Source	Budget Description
Outcome 1	Low Value Grants awarded to NGOs for marine environment protection								
Output 1: Community-based models and biodiversity friendly practices and approaches promoted for conservation and sustainable use of threatened ecosystems and species in important coastal/ marine ecosystems <i>Gender marker: GEN2</i>	1.1 Activity: Project proposals received from NGOs and Grant Agreements signed up with selected NGOs based on project application guidelines	75,000	135,000	150,000	75,000	15,000	UNDP/SGP NSC	DLF	450,000
	Sub-Total for Output 1								450,000
Output 2: Sustainable practices improved productivity, food security, and livelihoods of small-scale fisheries and fish workers empowered for fisheries management <i>Gender marker: GEN2</i>	2.1 Activity: Project proposals received from NGOs working for small scale fisheries/with fish workers identified and selected. Grant Agreements signed up with selected NGOs	50,000	90,000	100,000	50,000	1,000	UNDP/SGP NSC	DLF	300,000
	Sub-Total for Output 2								300,000
Output 3: Coastal and marine environment protected from land-based sources of pollution and marine waste reduced <i>Gender marker: GEN2</i>	3.1 Activity: Project proposals received from NGOs working for land-based pollution control selected. Grant Agreements signed up with selected NGOs	75,000	135,000	150,000	75,000	15,000	UNDP/SGP NSC	DLF	450,000
	Sub-Total for Output3								450,000
Sub-Total for Outcome 1		200,000	360,000	400,000	200,000	40,000			1,200,000
Outcome 2 NGOs' capacities improved through UNDP support									

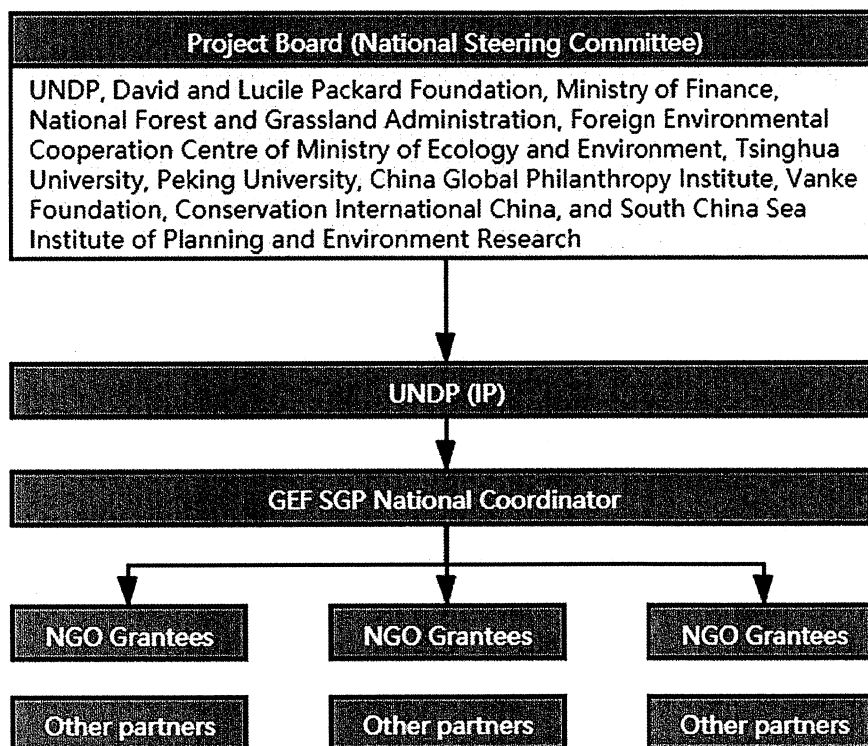
Output 1: NGOs capacity on project management improved	1.1 capacity building to grantee NGOs on related topics, project management and financial management	2,000	2,000	2,000	2,000	2,000	2,000			UNDP	DLF	6,000
	1.2 Trainings/Workshops/Conference organised to share good practices/sustainable practices			1,000	1,000	1,000	1,000		1,000	UNDP	DLF	3,000
	1.3 Technical Assistance (Expert, consultant, staff, and other HR cost)	1,000	1,000	1,000								3,000
	Output 2: NGOs received project monitoring and evaluation for technical assistance and project adaptation management			28,000	28,000	28,000	28,000	28,000	28,000	28,000	UNDP	DLF
	Technical Assistance (Expert, consultant, staff, and other HR cost)		10,100	10,100	10,100	10,100	10,100	10,100	10,100	UNDP	DLF	40,400
	Project Monitoring, Evaluation, travel and accommodation		900	900	900	900	900	900	900	UNDP	DLF	3,600
	Miscellaneous											
	Terminal evaluation								7,000	UNDP	DLF	7,000
	General Management Support (8%)	16,240	32,160	35,440	19,200	6,960						110,000
	Contribution to UN Resident Coordinator Office (1%)	5,000	5,000	5,000								15,000
TOTAL		224,240	439,160	483,440	259,200	93,960	1,500,000					

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project is **directly implemented by UNDP** in under the guidance of the GEF SGP China National Steering Committee including Ministry of Finance, National Forest and Grassland Administration, Foreign Environmental Cooperation Centre of Ministry of Ecology and Environment, Government of China to provide services including procurement and/or capacity development services.

I. Project Board (National Steering Committee)

The National Steering Committee (NSC) of SGP, comprising designated officials from UNDP, David and Lucile Packard Foundation, Ministry of Finance, National Forest and Grassland Administration, Foreign Environmental Cooperation Centre of Ministry of Ecology and Environment, Tsinghua University, Peking University, China Global Philanthropy Institute, Vanke Foundation, Conservation International China, and South China Sea Institute of Planning and Environment Research will function as the Project Board of this project.



The NSC, co-chaired by Ministry of Finance and UNDP will carry out the following functions for this project:

- Providing oversight to outputs and activities as set forth in this project document and approved annual work plan (AWP);
- Conducting project assurance review and ensuring UNDP's ultimate accountability;
- Taking corrective action as needed to ensure the project achieves the desired results;
- Selecting and approving grant proposal;
- Ensuring and monitoring the technical and substantive quality of selected grant projects;
- Participate in project site visits;
- Providing advice on proposal reformulation or redesign if necessary and possible;
- Reviewing the annual workplan of SGP- China.

II. UNDP

UNDP as the Implementing Partner assumes the full responsibility and accountability for the effective use of resources and the delivery of outputs, as set forth in such project document.

It will provide overall project oversight and take responsibility for standard project cycle management services beyond assistance and oversight of project design and negotiation, including project initiation, monitoring, periodic evaluations, troubleshooting, and reporting to the donor.

Project Assurance will be the responsibility of UNDP. It will support the NSC by carrying out objective and independent project oversight and monitoring functions. This role ensures that appropriate project management milestones are managed and completed. The assurance role will:

- Ensure the project is making progress towards intended outputs;
- Perform regular monitoring activities, such as periodic monitoring visits and spot checks;
- Ensure that resources entrusted to UNDP are utilized appropriately;
- Ensure that critical project information is monitored and updated
- Ensure that financial reports are submitted to UNDP on time, and that combined delivery reports are prepared and submitted to the NSC;
- Ensure that risks are properly identified, managed, and monitored on regular basis.

UNDP will enter into contracts with NGO grantees in line with its rules and procedures for providing goods and services to the project and keeping within the mandate of direct implementation of the project. UNDP will invite representative/s of Government to be part of the selection panel who will be a signatory to the selection report. UNDP will get the ToR approved by NSC with regard to technical specifications of services to be rendered for implementation of this project.

III. GEF SGP National Coordinator

The GEF SGP National Coordinator will conduct the day-to-day management and implementation of the project. The Project Officer will be responsible for:

- Managing the above-mentioned activities of the project;
- Implementing activities by mobilizing goods and services.
- Checking on progress and watch for plan deviations; Monitoring progress and risks;
- Monitoring the progress regularly and reporting to the NSC;
- Ensuring that changes are controlled and problems addressed;
- Reporting on progress including measures to address challenges and opportunities.
- Coordinating the activities including the preparation of Annual and Quarterly Work Plans, Budget, Financial Reports, etc;
- Traveling to the field to provide hand-holding support to partners or attending training/ events etc.

IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of China and UNDP, signed on June 29, 1979. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

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

X. RISK MANAGEMENT

UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/ag_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
 - a. Consistent with the Article III of the SBAA [*or the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - ii. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.

- b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
- c. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.
- d. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- e. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
- f. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- g. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

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

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

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

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

Option 3: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the

Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

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

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

XI. ANNEXES

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Template**
- 3. Risk Analysis.**
- 4. Project Board Terms of Reference and TORs of key management positions**
- 5. Implementation and Administration of SGP Grants**

Annex 1. Project Quality Assurance Report

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL					
OVERALL PROJECT					
EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○	
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The Principled criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.	
DECISION					
<ul style="list-style-type: none"> • APPROVE – the project is of sufficient quality to be approved in its current form. Any management actions must be addressed in a timely manner. • APPROVE WITH QUALIFICATIONS – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner. • DISAPPROVE – the project has significant issues that should prevent the project from being approved as drafted. 					
RATING CRITERIA					
For all questions, select the option that best reflects the project					
STRATEGIC					
1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change? <ul style="list-style-type: none"> • 3: The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks. • 2: The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change. • 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change. <p><i>*Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.</i></p>	3	2	1		
				Evidence ToC in ProDoc linked to Strategic Plan/CPD	
2. Is the project aligned with the UNDP Strategic Plan? <ul style="list-style-type: none"> • 3: The project responds to at least one of the development settings as specified in the Strategic Plan¹ and adapts at least one Signature Solution². The project's RRF includes all the relevant SP output indicators. <i>(all must be true)</i> • 2: The project responds to at least one of the development settings as specified in the Strategic Plan⁴. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true)</i> • 1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF. 	3	2	1		
				Evidence Linked to Outcome 2 (Strategic Plan)	

¹ The three development settings in UNDP's 2018-2021 Strategic Plan are: a) Eradicate poverty in all its forms and dimensions; b) Accelerate structural transformations for sustainable development; and c) Build resilience to shocks and crises

² The six Signature Solutions of UNDP's 2018-2021 Strategic Plan are: a) Keeping people out of poverty; b) Strengthen effective, inclusive and accountable governance; c) Enhance national prevention and recovery capacities for resilient societies; d) Promote nature based solutions for a sustainable planet; e) Close the energy gap; and f) Strengthen gender equality and the empowerment of women and girls.

3. Is the project linked to the programme outputs? (i.e., UNDAF Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)	Yes	No
RELEVANT		
4. Does the project target groups left furthest behind? <ul style="list-style-type: none"> • 3: The target groups are clearly specified, prioritising discriminated and marginalized groups left furthest behind, identified through a rigorous process based on evidence. • 2: The target groups are clearly specified, prioritizing groups left furthest behind. • 1: The target groups are not clearly specified. <p><i>*Note: Management Action must be taken for a score of 1. Projects that build institutional capacity should still identify targeted groups to justify support</i></p>	3	2
1		
Evidence Project will work with NGOs (poor coastal communities).		
5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? <ul style="list-style-type: none"> • 3: Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project. • 2: The project design mentions knowledge and lessons learned backed by evidence/sources, but have not been used to justify the approach selected. • 1: There is little or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
1		
Evidence Links up with GEF/SGP lessons learnt		
6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national/regional/global partners and other actors? <ul style="list-style-type: none"> • 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true)</i> • 2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans. • 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
1		
Evidence Refer Development Challenges in ProDoc		
PRINCIPLED		
7. Does the project apply a human rights-based approach? <ul style="list-style-type: none"> • 3: The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. <i>(all must be true)</i> • 2: The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. <i>(both must be true)</i> • 1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered. <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	3	2
1		
Evidence The project design includes meaningful participation of poor communities.		
3	2	

<p>8. Does the project use gender analysis in the project design?</p> <ul style="list-style-type: none"> • 3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. <i>(all must be true)</i> • 2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. <i>(all must be true)</i> • 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p style="text-align: center;">1</p> <p>Evidence The project design includes its implementation through women headed CSOs.</p>								
<p>9. Did the project support the resilience and sustainability of societies and/or ecosystems?</p> <ul style="list-style-type: none"> • 3: Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. <i>(all must be true)</i>. • 2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. <i>(both must be true)</i> • 1: Sustainability and resilience dimensions and impacts were not adequately considered. <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2">Evidence</td> </tr> <tr> <td colspan="2">The project will strengthen sustainable livelihoods & marine ecosystems.</td> </tr> </table>	3	2	1		Evidence		The project will strengthen sustainable livelihoods & marine ecosystems.	
3	2								
1									
Evidence									
The project will strengthen sustainable livelihoods & marine ecosystems.									
<p>10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">No</td> </tr> <tr> <td colspan="2" style="height: 50px;"></td> </tr> </table>	Yes	No						
Yes	No								
MANAGEMENT & MONITORING									
<p>11. Does the project have a strong results framework?</p> <ul style="list-style-type: none"> • 3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. <i>(all must be true)</i> • 2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. <i>(all must be true)</i> • 1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. <i>(if any is true)</i> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2">Evidence</td> </tr> <tr> <td colspan="2">The project has a strong RRF with defined outputs, indicators & targets</td> </tr> </table>	3	2	1		Evidence		The project has a strong RRF with defined outputs, indicators & targets	
3	2								
1									
Evidence									
The project has a strong RRF with defined outputs, indicators & targets									
<p>12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> </table>	3	2	1					
3	2								
1									

<ul style="list-style-type: none"> • 3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. <i>(all must be true)</i>. • 2: The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true)</i> • 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p>Evidence</p> <p>UNDP DIM implementation through National GEF Steering Committee</p>						
<p>13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?</p> <ul style="list-style-type: none"> • 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme's theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders. Clear and complete plan in place to manage and mitigate each risk, reflected in project budgeting and monitoring plans. <i>(both must be true)</i> • 2: Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk. • 1: Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and/or no initial risk log is included with the project document. <p><i>*Note: Management Action must be taken for a score of 1</i></p>	<table border="1"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> <p>Evidence</p> <p>The project has a Risk Register.</p> </td> </tr> </table>	3	2	1		<p>Evidence</p> <p>The project has a Risk Register.</p>	
3	2						
1							
<p>Evidence</p> <p>The project has a Risk Register.</p>							
EFFICIENT							
<p>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners; iv) sharing resources or coordinating delivery with other projects, v) using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.</p> <p><i>(Note: Evidence of at least one measure must be provided to answer yes for this question)</i></p>	<table border="1"> <tr> <td style="text-align: center;">Yes (3)</td> <td style="text-align: center;">No (1)</td> </tr> </table>	Yes (3)	No (1)				
Yes (3)	No (1)						
<p>15. Is the budget justified and supported with valid estimates?</p> <ul style="list-style-type: none"> • 3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated. • 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates. • 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget. 	<table border="1"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> <p>Evidence</p> <p>Budget of USD 1.5 m (donor funded)</p> </td> </tr> </table>	3	2	1		<p>Evidence</p> <p>Budget of USD 1.5 m (donor funded)</p>	
3	2						
1							
<p>Evidence</p> <p>Budget of USD 1.5 m (donor funded)</p>							
<p>16. Is the Country Office/Regional Hub/Global Project fully recovering the costs involved with project implementation?</p>	<table border="1"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> </table>	3	2	1			
3	2						
1							

<ul style="list-style-type: none"> • 3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.) • 2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. • 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project. <p>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</p>	<p>Evidence Project Budget includes GMS/UNRC Coord costs.</p>						
EFFECTIVE							
<p>17. Have targeted groups been engaged in the design of the project?</p> <ul style="list-style-type: none"> • 3: Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.) • 2: Some evidence that key targeted groups have been consulted in the design of the project. • 1: No evidence of engagement with targeted groups during project design. 	<table border="1" style="width: 100%;"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> <p>Evidence the project will use 'call for proposals' modality and all grantee proposals will come from local NGOs, communities and women's groups</p> </td> </tr> </table>	3	2	1		<p>Evidence the project will use 'call for proposals' modality and all grantee proposals will come from local NGOs, communities and women's groups</p>	
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1							
<p>Evidence the project will use 'call for proposals' modality and all grantee proposals will come from local NGOs, communities and women's groups</p>							
<p>18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?</p>	<table border="1" style="width: 100%;"> <tr> <td style="text-align: center;">Yes (3)</td> <td style="text-align: center;">No (1)</td> </tr> </table>	Yes (3)	No (1)				
Yes (3)	No (1)						
<p>19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</p> <p>*Note: Management Action or strong management justification must be given for a score of "no"</p>	<table border="1" style="width: 100%;"> <tr> <td style="text-align: center;">Yes (3)</td> <td style="text-align: center;">No (1)</td> </tr> <tr> <td colspan="2"> <p>Evidence The project implementation is through Women led NGOs.</p> </td> </tr> </table>	Yes (3)	No (1)	<p>Evidence The project implementation is through Women led NGOs.</p>			
Yes (3)	No (1)						
<p>Evidence The project implementation is through Women led NGOs.</p>							
SUSTAINABILITY & NATIONAL OWNERSHIP							
<p>20. Have national/regional/global partners led, or proactively engaged in, the design of the project?</p> <ul style="list-style-type: none"> • 3: National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP. • 2: The project has been developed by UNDP in close consultation with national/regional/global partners. • 1: The project has been developed by UNDP with limited or no engagement with national partners. 	<table border="1" style="width: 100%;"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> <p>Evidence The project has been designed in consultation with national authorities.</p> </td> </tr> </table>	3	2	1		<p>Evidence The project has been designed in consultation with national authorities.</p>	
3	2						
1							
<p>Evidence The project has been designed in consultation with national authorities.</p>							
<p>21. Are key institutions and systems identified, and is there a strategy for strengthening specific/comprehensive capacities based on capacity assessments conducted?</p> <ul style="list-style-type: none"> • 3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. • 2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment. 	<table border="1" style="width: 100%;"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> <p>Evidence SGP country programme strategy includes strategy for</p> </td> </tr> </table>	3	2	1		<p>Evidence SGP country programme strategy includes strategy for</p>	
3	2						
1							
<p>Evidence SGP country programme strategy includes strategy for</p>							

<ul style="list-style-type: none"> • <u>1</u>: Capacity assessments have not been carried out. 	capacity building	
22. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?	Yes (3)	No (1)
23. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?	Yes (3)	No (1)

Annex 2. Social and Environmental Screening Template (2021 SESP Template, Version 1)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

Project Information

Project Information	
1. Project Title	UNDP-DLF Joint Programme for Supporting NGOs in China on Marine Conservation
2. Project Number (i.e. Atlas project ID, PIMS+)	00128511(project ID)/00138351(award ID)
3. Location (Global/Region/Country)	China
4. Project stage (Design or Implementation)	Design
5. Date	September 2021

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

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?

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

The project recognizes the centrality of human rights to sustainable development, poverty alleviation, ensuring fair distribution of development opportunities and benefits. The project activities will uphold the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination, noting that prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth, health status or other status including as an indigenous person or as a member of a minority.

The project will ensure the meaningful, effective, and informed participation of stakeholders in the formulation, implementation, monitoring and evaluation of its activities.

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

The focus of the project will be on NGOs led by women, on marine conservation through the existing UNDP/GEF SGP modality, which will provide grants directly to local NGOs and community-based organizations that improve and protect the marine environment and coastal ecosystem.

Briefly describe in the space below how the project mainstreams sustainability and resilience

The project will result in community-based biodiversity friendly sustainable models, best practices and approaches which promote conservation and sustainable use of threatened ecosystems and species in important coastal/ marine ecosystems.

Briefly describe in the space below how the project strengthens accountability to stakeholders

The project will promote accountability by enabling active local community engagement and participation in decision-making, particularly those at risk of being left behind, ensuring transparency of programming interventions through provision of timely, accessible and functional information regarding supported activities, including on potential environmental and social risks and impacts and management measures, ensuring stakeholders can communicate their concerns and have access to rights-compatible complaints redress processes and mechanisms and ensuring effective monitoring.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>	QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High		
Risk Description (broken down by event, cause, impact)	Impact and Likelihood (1-5)	Significance (Low, Moderate, Substantial, High)	Comments (optional)	Description of assessment and management measures for risks rated as Moderate, Substantial or High
Risk 1: Low awareness of NGOs and CBOs to address global environmental problems in selected landscape / seascapes	I = 3 L = 3	Moderate		The Project Team works closely with all grantees to help build capacities by learning from each other (peer-to-peer), and working in a flexible manner that responds to the strengths and comparative advantages of grantees. The National Steering Committee (NSC), with representation from civil society leaders, government institutions, and academic institutes further provide support
Risk 2 : Capacity of NGOs in financial management of grants	I = 3 L = 3	Moderate		The selection criteria of NGOs includes prudent / sound financial management practices. Micro Assessment of NGOs will be undertaken before signing up Agreements
Risk 3: Conflict between environmental protection and economic development and unwillingness from NGOs to implement the activities.	I = 3 L = 3	Moderate		The Project will prepare a communication plan advocate that investing in environmental protection will serve economic development and the quality of life of local communities.
Risk 4: The natural disasters/climate change in project areas	I = 2 L = 2	Low		The project activities will be aligned/ adjusted with the needs / objective of the local conditions.
Risk 5: Government unwilling to actively engage with the NGO communities	I = 2 L = 2	Low		UNDP engages Government of China closely during the design/implementation phase of the project.

QUESTION 4: What is the overall project risk categorization?

<i>Low Risk</i>	<input checked="" type="checkbox"/>
<i>Moderate Risk</i>	<input type="checkbox"/>
<i>Substantial Risk</i>	<input type="checkbox"/>
<i>High Risk</i>	<input type="checkbox"/>

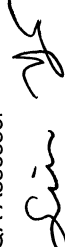


QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)

Question only required for Moderate, Substantial and High Risk projects		Status? (completed, planned)
<u>Is assessment required? (check if "yes")</u>	<input type="checkbox"/>	
<i>if yes, indicate overall type and status</i>		Targeted assessment(s)
	<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)
	<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)
<u>Are management plans required? (check if "yes")</u>	<input type="checkbox"/>	
<i>if yes, indicate overall type</i>		Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)
	<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)
	<input type="checkbox"/>	ESMF (Environmental and Social Management Framework)
Based on identified risks, which Principles/Project-level Standards triggered?		Comments (not required)
Overarching Principle: Leave No One Behind		
<i>Human Rights</i>	<input checked="" type="checkbox"/>	
<i>Gender Equality and Women's Empowerment</i>	<input checked="" type="checkbox"/>	
<i>Accountability</i>	<input checked="" type="checkbox"/>	
1. Biodiversity Conservation and Sustainable Natural Resource Management	<input checked="" type="checkbox"/>	
2. Climate Change and Disaster Risks	<input checked="" type="checkbox"/>	
3. Community Health, Safety and Security	<input type="checkbox"/>	
4. Cultural Heritage	<input type="checkbox"/>	

	5. Displacement and Resettlement	<input type="checkbox"/>
	6. Indigenous Peoples	<input type="checkbox"/>
	7. Labour and Working Conditions	<input checked="" type="checkbox"/>
	8. Pollution Prevention and Resource Efficiency	<input checked="" type="checkbox"/>

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	Date	Description
 QA Assessor	15 Sep. 2021	UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
 QA Approver	September 15, 2021	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
 PAC Chair	September 15, 2021	In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the <u>SES toolkit</u> for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind		Answer (Yes/No)
Human Rights		
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	No
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? ³	No
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Gender Equality and Women’s Empowerment		
P.8	Have women’s groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	No
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
P.11	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? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	No
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
<i>Would the project potentially involve or lead to:</i>		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	No
P.14	grievances or objections from potentially affected stakeholders?	No

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

P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	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	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	risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	No
1.7	adverse impacts on soils?	No
1.8	harvesting of natural forests, plantation development, or reforestation?	No
1.9	significant agricultural production?	No
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	No
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.12	handling or utilization of genetically modified organisms/living modified organisms? ⁴	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ⁵	No
1.14	adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	No
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	No

⁴ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

⁵ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

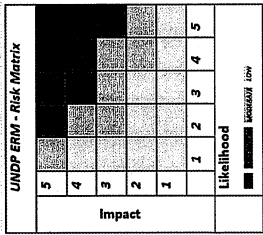
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7	influx of project workers to project areas?	No
3.8	engagement of security personnel to protect facilities and property or to support project activities?	No
Standard 4: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	No
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.4	alterations to landscapes and natural features with cultural significance?	No
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2	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	risk of forced evictions? ⁶	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	No
6.2	activities located on lands and territories claimed by indigenous peoples?	No
6.3	impacts (positive or negative) 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)? <i>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</i>	No
6.4	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 Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	No
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	No
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	No
Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
8.2	the generation of waste (both hazardous and non-hazardous)?	No
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the <u>Montreal Protocol</u>, <u>Minamata Convention</u>, <u>Basel Convention</u>, <u>Rotterdam Convention</u>, <u>Stockholm Convention</u></i>	No
8.5	the application of pesticides that may have a negative effect on the environment or human health?	No
8.6	significant consumption of raw materials, energy, and/or water?	No

Annex 3. Offline Project Risk Register Template

Project Title: UNDP-DLF Joint Programme for Supporting NGOs in China on Marine Conservation		Project Number: 00128511(project ID)/00138351(award ID)		Date: September 2021					
#	Event	Cause	Impact(s)	Risk Category	Impact and Likelihood = Risk Level	Risk Management Measures	Risk Owner	Risk From/To	Valid
	Enter a brief description of the potential future event. The occurrence or change of a particular set of circumstances. An event can be one or more occurrences, can have several causes, and can consist of something not happening.	Enter a brief description of what could cause the potential event.	Enter a brief description of the potential impact of the event. The totality of all effects of an event affecting objectives.	Social and Environmental Financial Operational Organizational Political Regulatory Strategic Safety and Security Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information) <i>(In Atlas, select from list)</i>	Describe the potential effect on the project if the future event were to occur. Enter likelihood based on 1-5 scale (1 = Not likely; 5 = Expected) Enter impact based on 1-5 scale (1 = Negligible; 5 = Extreme) Based on Likelihood and Impact, use the Risk Matrix to identify the Risk Level (High, Substantial, Moderate or Low)	What actions have been taken/will be taken to manage this risk. Who is responsible for treatment and status of treatment. Each risk can have multiple treatment measures. <i>(in Atlas, use the "Treatment(s)" box. This field can be modified at any time. Create separate boxes as necessary using "+", for instance to add additional treatment measures.</i>	The person or entity with the responsibility to manage the risk.	Enter dates for when the risk is valid. Update as needed.	
1	The NGOs have low level of technical and management capacity to implement the project	NGOs may not have worked with international organisations and received grants.	The project may find a limited number of NGOs to qualify to receive the grants.	Operational Financial	Medium	The project will mitigate the risks with consistent capacity building and monitoring of the NGOs during the NGO selection and implementation phase of the project.	UNDP	Ongoing	
2	Conflict between environmental	Local rules, legislations	Activities to be implemented by	Political Regulatory	Medium	A close interaction with the local government authorities	UNDP	Ongoing	



	protection and economic development and unwillingness from NGOs to implement the activities.	restrict the project activities	NGOs may not find acceptance from local government authorities.		P = 3 I = 3		and communities will facilitated through continuous dialogue and monitoring e.g. visits, meetings, steering committee.		
3	Government unwilling to actively engage with the NGO communities	Government rules may have restricted access to certain geo locations /areas.	Limited project sites are available to implement the project activities.	Social and Environmental Operational	Medium P = 3 I = 2		The implementation plan will be designed in consultation with the National Steering Committee comprising of National Government, UNDP and relevant experts.	UNDP	Ongoing
4	The natural disasters / extreme weather conditions e.g. hurricane, tsunami, typhoons effect the coastal communities.	Sudden extreme freak climate change events.	The project activities may have to be delayed/ halted / postponed.	Social and Environmental Safety and Security	Low P = 2 I = 2		The project site will be identified based on the record of the previous events or possibility of predictions by meteorological department .	UNDP	Ongoing
5.	Reduced level of funding may impact the effectiveness of the project	Donor may reduce level of funding.	The project size and number of activities may have to be reconfigured.	Financial Operational Organizational	Low P = 1 I = 1		Donor agreements will be signed by UNDP before the start of the project initiation to ensure financial sustainability. Other donors will be reached out to contribute to the project objectives.	UNDP	Ongoing



Annex 4.
GEF Small Grant Programme in China
Terms of Reference for National Steering Committee

1. Objectives

The National Steering Committee (NSC) is created in line with the mutual commitment of the Government of China and the funding agency and International Executing Agency, namely Global Environment Facilities and UNDP, to an integrated approach and increased cooperation in promoting capacity development of domestic NGOs and Community Based Organizations in area of GEF focal areas including biodiversity, international waters, climate change, land degradation, chemical and waste.

2. Composition

The NSC is composed of nine voluntary members, including three government members, five non-government members and one UNDP member.

The three government members include: Ministry of Finance, FECO of Ministry of Environmental Protection and State Forest Administration, five non-government members include academics, research institutes and non-government organizations. There is another member from UNDP Country Office.

There is a balance between individual and institutional representation on the NSC. While certain institutions (including MOF, FECO, SFA and UNDP CO) must be included in the NSC, members should also be chosen who as individuals would contribute significantly to the committee and the programme.

3. Tenure

The NSC will be co-chaired by representatives from Ministry of Finance and UNDP China respectively. Under the NSC, National Coordinator will look after day-to-day coordination and communication, and administration of the SGP.

NSC members serve for a period of three years, with a possibility of one-time renewal. Term of appointment of NSC member would be no more than two terms in a consecutive manner, unless approved by the SGP Global Manager on an exceptional basis. In general, periodically inviting new members can bring new ideas and expertise to programme implementation. However, changing the entire membership at one time should be avoided.

The NSC will review its Terms of Reference each year and may revise them for the remaining duration of the NSC.

4. Functions and Duties

The SGP National Steering Committee (NSC) serves as the main decision-making body of the SGP at the country level, and provides overall oversight, guidance, and direction to the Country Programme.

The NSC member's principal roles include the following:

- Provide overall guidance and strategic direction of the Country Programme, including the development, implementation, and periodic review and revision of the SGP Country Programme Strategy (CPS).
- Review and approve projects in alignment with the CPS following participatory, democratic, impartial, and transparent procedures in line with the SGP Operational Guidelines and Standard Operating Procedures.
- Provide technical support to project oversight and implementation at the country level in accordance with the SGP Project Document for the operational phase, including project monitoring and evaluation (e.g., field visits).
- Link the SGP operations to the relevant global, regional, and national policies and strategies of the GEF and other third-party co-financing.
- Support partnership development and resource mobilization efforts for the SGP at project and country levels.
- Support scaling up efforts to mainstream SGP lessons learned and successes in national development planning and policymaking.

5. Remuneration

Participation in the NSC is without monetary compensation. Travel expenses for project site visits or to NSC meetings can be covered by SGP Country Operational Budget.

6. Member's profile

- who has a biding interest and commitment to working with communities
- who shares a vision of what sustainable development and 'thinking globally, acting locally' might mean in terms of linking the GEF focal areas with local needs and concerns
- who is the experts in one of the fields of biodiversity, climate change, international waters, sustainable land management and chemical and waste management
- who can contribute expertise on poverty reduction and local empowerment in the process of achieving effective environmental management
- who is experienced in participatory approaches and methodologies
- who has potential policy linkage and fundraising contribution

7. Organization of NSC meetings

- NSC meeting is called by the National Coordinator (NC) at least 1-2 times in a year.
- NSC is called for discussing the proposals for funding of projects.
- NSC meetings are called upon written invitations by the NC, which are sent to

- the NSC members not later than 15 working days before the meeting.
- The written invitations obligatory include full documentation on all proposals for funding under SGP to be considered in electronic form. Upon request the proposals may be provided in hard copy by the NC.
 - Every NSC member is obliged to fill Proposal Evaluation Form for each of the proposals for funding under SGP and send it to NC by fax, e-mail or in the SGP office not later than 4 working days before the meeting.
 - Signed evaluation forms for each proposal should be provided to the NC in the meeting day.
 - The place, date, hour and the agenda of each meeting are defined by the NC via prior consultation with the NSC members.
 - Changes in the agenda of a NSC meeting may be proposed by each NSC member within 5 working days after the receipt of the invitation.
 - Changes in the agenda of a NSC meeting may be proposed at NSC meeting by each NSC member and are adopted with a decision of the NSC.
 - The entire communication and documentation related to the work of NSC is conducted in English or Chinese.
 - NSC meeting is taking place and is legitimate in at least 7 NSC members attend it.
 - The opinion of the permanent and specialized NSC members of NSC who are not present at the meeting is provided to all NSC members by the NC.
 - Minutes reflecting the decisions taken are produced for each NSC meeting
 - The minutes are written by designated person and are signed by the NC
 - The minutes are adopted by all NSC members who attended the meeting at the end of the meeting.
 - NC sends the minutes of each meeting to all NSC members not later than 5 working days after its adoption.
 - Other communications with NSC members will be taken by conference call, telephone or email.

8. Objectivity and Credibility principle

In general, no NSC member should participate in the review or approval of any project proposal in which s/he, or an organization with which s/he is associated, has a financial or personal interest.

Members of the NSC are accountable for their participation on the NSC through the normal reporting structures of their organizations and reporting line determined by the NSC.

Project approval is under the principle of consensus. When major disagreement or divergence arises at the NSC, the members may consult with their organizations for direction or guidance. Should the NSC be unable to resolve an issue through negotiation among the members, dispute settlement will be subject to decision of the NSC co-chairs.

The NSC will be co-chaired by MOF and UNDP China.

Annex 5. Implementation and Administration of SGP Grants

Each SGP Country Programme prepares and issues a call for proposals on a regular basis in line with the approved SGP project document. Information in the call for proposals should clearly state that the SGP makes grants to eligible CSOs and NGOs, on specific thematic and geographic focuses with a maximum grant amount of US\$150,000.

The process for 'call for proposals' should take place in a transparent manner covering the: (i) project preparation guidelines setting forth the eligibility criteria; (ii) application/proposal review process and calendar; (iii) templates for project concept and proposal development, and; (iv) co-financing requirements in cash and/or in-kind.

SGP provides grants in a strategic manner to support activities that help achieve the objectives outlined in the project document. Each project should also determine measurable contribution to one or more of the results indicators and targets in the project document. To create sustainability and impact beyond the project, SGP projects can combine demonstration, capacity-building, network building, awareness raising, and dissemination of lessons learned as integral components. Given this comprehensive approach, a simple results framework and monitoring work plan are required for each proposal.

As a demand-driven programme, SGP projects endeavour to address both the GEF criteria, as well as community needs and initiatives. The SGP usually works with communities and localities that confront a multitude of social and economic development problems that impact on concerns related to global environment. For SGP interventions to have relevance and utility at the community level, these socio-economic issues are considered in the project design. A key guiding philosophy of the programme has been to promote social inclusion and reach the marginalized poor and vulnerable communities, especially when other support is limited, and where development baseline conditions have not been met. Typically, the SGP will need to mobilize additional resources to help provide the co-financing, technical assistance, capacity building, gender and socio-economic activities, or whatever non-GEF element may be necessary for a project's success. These project components are vital to achieving local acceptance, ownership, and sustainability of SGP interventions.

Project concepts from eligible CSOs/NGOs may be screened by the NC or jointly with the NSC. The NSC should determine which screening modality it will follow, and periodically review this decision to make sure that the modality chosen is working well. In all cases, project proposal selection should be done on the basis of established eligibility and selection criteria in accordance with the Project Document. The NSC should be informed on the long list of all project proposals that have been submitted and screened. At the minimum, project proposals should identify concrete results that are relevant to the outcomes in the project document and reflect the needs of the community or communities and/or stakeholders that would be involved. Once the proposals have been selected, the proponent organizations will be notified of this decision.

