



PROJECT DOCUMENT

[Philippines]

Project Title: Assistance for Security, Peace, Integration and Recovery for Advancing Human Security in BARMM (Short title: ASPIRE)

Project Number: 00141647

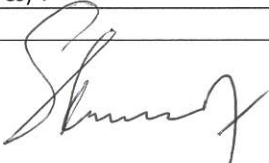
Implementing Partner: UNDP

Start Date: 1 October 2022 (expected) **End Date:** 31 May 2025 (32 months) **PAC Meeting date:** 24 February 2022

| Brief Description |
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| <p>The programme is designed to promote the decommissioning and normalization aspects of the Bangsamoro peace process by addressing the challenge of personal firearms of both former MILF combatants as well as members of the private armed groups. Due to the significantly adverse ratio between decommissioned combatants and firearms “put beyond use,” this challenge has become a point of contention between the parties to the peace process.</p> <p>Moreover, this programme can be the first model case, which embodies the concept of “a new generation of human security” by systematically operationalizing a set of human-centred policy measures in post-conflict peacebuilding. In the era arising Anthropocene threats of existential nature, peacebuilding needs to respond cohesively and collectively, by accepting co-existence, to rising challenges despite differences over identity or political groups. Hence, the programme outcome aims at integrating comprehensive human security policy initiatives, raising from the ones that capture former combatants’ socio-economic needs to those that promote climate action and disaster risk reduction, which contributes to advancing the local implementation of SDGs among all the people in Mindanao who share the common future.</p> |

| | | | |
|--|-----------------------------------|--------------------|----------------|
| <p>Contributing Outcome (UNSDCF, CPD, RPD):</p> <p>Outcome 3: National and local governments and key stakeholders recognize and share a common understanding of the diverse cultural history, identity and inequalities of areas affected by conflict, enabling the establishment of inclusive and responsive governance systems and accelerating sustainable and equitable development for just and lasting peace in conflict affected areas in Mindanao.</p> <p>Indicative Output(s) with gender marker¹: GEN 2</p> | Total resources required: | USD 5,000,000.00 | |
| | Total resources allocated: | UNDP TRAC: | |
| | | Donor: | \$5,000,000.00 |
| | | Government: | |
| | | In-Kind: | |
| | Unfunded: | | |

Agreed by (signatures)²:

| |
|---|
| UNDP |
|  |
| Print Name: Dr. Selva Ramachandran, Resident Representative |
| Date: 8 Sept 2022 |

¹The Gender Marker measures how much a project invests in gender equality and women’s empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)

² Note: Adjust signatures as needed

I. DEVELOPMENT CHALLENGE

Armed Violence Reduction

The decommissioned combatants of the Moro Islamic Liberation Front (MILF) have not yet received the bulk of the socio-economic packages promised to them following their decommissioning (the national government has been slowed down because of the overwhelming impact of COVID-19 on its capabilities and finances). At the same time, the only weapons that are “put beyond use” at the time of decommissioning are organizationally owned crew-served weapons of the MILF. Combatants are not required to hand over their personal firearms during the decommissioning process. This has led to a situation where – as horizontal violence and insecurity have increased in several locations in the Bangsamoro Autonomous Region in Muslim Mindanao (BARMM) due to the impact of COVID-19 and conflicts over land and natural resources, and small arms have been used in many instances – the national government has insisted that more personal firearms be put beyond use. The violence has greatly impacted women, as over half those displaced have been female. However, continued insecurity in many of the local communities, as well as absence of alternatives, has meant that many former combatants have preferred to retain their personal arms. Simultaneously, several have joined the activities of smaller extremist groups or private armed groups (PAGs) to better their financial situations. Both parties to the peace process, the Philippine Government and the MILF, agree that the part of the solution lies in a comprehensive “small arms and light weapons” (SALWs) programme that provides for better control of small arms, including registration and tracking, as well as incentives for former combatants to turn in their personal firearms.

The Office of the Presidential Adviser on Peace, Reconciliation and Unity (OPAPRU) had implemented a pilot SALW project in five provinces in the BARMM in 2021 and achieved positive outcomes. For example, 10 local government units (LGUs) in Basilan signed the Memorandum of Understanding on the project, and then 126 firearms were turned over as of 30 June 2021. This initial effort now needs to be systematically expanded, as there is precedent for the effectiveness of this type of programming.

New Generation of Human Security

In order for peace to take roots in Mindanao, and by turning the arising Anthropocene risks into the opportunities to reimagine diverse communities of people as one, the importance of local and outside efforts to bridge all the generations of people of the BARMM and those in the rest of Mindanao, by pursuing and exercising projects and programmes for “solidarity” cannot be stressed more. Changing people’s mindsets is not easy and may take time. However, the lesson we need to learn from the Anthropocene perspective, i.e., the role of human agency so far mostly negatively affected the planet and the future of ourselves, is that we humans can completely transform our own way of thinking and a course of action, if we try.

As an integrator concept, “a new generation of human security” provides a policy framework to consolidate all the relevant initiatives, aligning traditional protection and empowerment recipes with globally coordinated efforts to address environmental, health and other challenges, often with newly available digital and other technological prowess. The concept of a new generation of human security was launched by UNDP in February 2022. This programme, by systematically operationalizing a set of human-centred policy measures, can be the first model case of what should be called “a new generation of comprehensive peacebuilding through the enhanced human security approach”. As a concrete example of blending specific peacebuilding initiative and climate action, following the endorsement of the peace panels, this programme will seek to engage in the unique efforts in designing and planning community-based approaches to the improvement of socio-economic conditions, to form the “forest rangers” by the decommissioned combatants to restore forests that can absorb carbons, make communities resilient to natural disasters while protecting habitat for biodiversity.

By applying these reimagined human security approaches strategically, and by implementing such notion as “comprehensive peace”, it is expected that the achievements in this programme will lay an effective foundation for human development while advancing the local implementation of SDGs among all the people in Mindanao who share the common future.

II. STRATEGY

UNDP support will focus on at least two (2) vulnerable communities corresponding to MILF base commands (e.g., Maguindanao and Lanao del Sul), and two (2) communities to PAGs (e.g., Basilan and Tawi-Tawi). A community is composed of about fifteen hundred (1,500) residents (two to three hundred (200 – 300) MILF former combatants/ PAGs and twelve hundred (1,200) their families). Hence, beneficiaries under this programme are expected to be about six thousand (6,000) residents. These communities will have the following characteristics, and will be identified together with the Joint Normalization Committee (JNC):

- i) A significant number of decommissioned combatants are located in these communities;
- ii) Members of PAGs have been active in these communities, and/or there have been significant levels of recent violence;
- iii) Members of both groups have retained their personal firearms.

The focus for any action to bring about community-based approaches to the improvement of socio-economic conditions will have to be the communities themselves, with leaders and residents playing central roles and owning the relevant activities and results. In other words, the community-based approaches will depend on each community's ongoing initiatives and resources, such as livelihood support – industrial infrastructure development for aquaculture and agriculture as well as the protection and preservation of environment by using environmentally friendly materials and technology. Special attention will be given to the needs and participation of youth and women amongst the former combatants.

This action will be based on the following theory of change, which has been derived from the comparative experience of ongoing initiatives in the Philippines and best practices from other post-conflict transitions:

IF sufficient gender-responsive socio-economic assistance is provided to former members of armed groups, and legal ownership of registered firearms and the handing over of unregistered weapons are supported, **THEN** incentives for violence and the impact of violence on women are reduced, **BECAUSE** viable alternatives are available to the use of illicit weaponry to obtain livelihoods, and assistance is available to help change the mindsets of those – both men and women – transitioning to being proactive members in communities.

This theory of change describes what is possible in the initial stage of SALW challenges within a 2 years and 8 months' timeframe of the Japan Partnership Grant Aid. Longer-term change will require greater social cohesion, local capacities for the peaceful settlement of disputes, secure communities, and green and sustainable jobs. However, this programme should provide a good basis for longer-term peacebuilding efforts by reducing violence and enhancing confidence in the normalization process.

III. RESULTS AND PARTNERSHIPS

Expected Results

UNDP, with technical support from development partners, including Japan, has facilitated an informal process of dialogue among members of the joint bodies of the peace process to address current issues that have stalled the processes of decommissioning and demobilization. Central to these issues is the question of the private firearms of the former combatants. Both sides have confirmed that an effective SALW programme, with accelerated provision of socio-economic support, will help move decommissioning and the wider normalization process forward urgently and effectively.

Hence, the main objective of this programme is to cope with concern that the decommissioning process is not bringing in a greater number of firearms to break the impasse over decommissioning and normalization. (i.e., 7,500 weapons targeted under the decommissioning process out of 93,000 estimated number of loose firearms on the ground – 33,000 by the MILF and 60,000 by others).

The cost of not implementing this programme with immediate effect will mean a significant increase in horizontal violence, compounded violence which is usually associated with the conduct of national and local elections. Before, during and after elections, traditionally they cause a very bloody affair especially in southern Mindanao. As local political, clan, land and resource-based conflicts spiral out of control, the 2022 elections could spawn extended violence.

By implementing this programme, personal firearms will be registered and collected from the selected four (4) communities: two thousand five hundred (2,500) firearms in total – one thousand (1,000) firearms per the MILF community x 2 areas, and two hundred fifty (250) firearms per PAG community x 2 areas – will be targeted. Accordingly, the number of violent incidents with weapons is expected to be reduced in the communities.

Resources Required to Achieve the Expected Results

In a meeting of the Joint Normalization Committee (JNC) facilitated by UNDP on July 21-22 and a follow-up meeting on August 20-21 in Cagayan de Oro, both the Government and the MILF agreed on a strong-armed violence reduction programme, with a component on the effective provision of socio-economic support for former combatants, as the best way forward to addressing the challenge of personal firearms and to moving the decommissioning process forward beyond its current deadlock. With national government funds being utilized for COVID-19 response and vaccination, only the Japanese Government shows an interest in assisting in coping with the proliferation of loose weapons. Thus, flexible and timely support from Japan can help fill the gap, prevent an impending surge in violence, and help jump-start the peace process. Japan is already one of the leading providers of technical and financial support for SALW programmes globally. It is only appropriate that it draws on this experience to assist the Philippines at this crucial juncture.

The target for this initiative will be the MILF camps and communities outside of the six major declared camps (which will receive assistance from the Bangsamoro Normalization Trust Fund). These are also some of the most fragile, violent, and remote areas in the BARMM. The provision of socio-economic support will be critical from a human security perspective as it will help address the challenge of unequal access to resources and development gains, that is the dividend of peace.

Partnerships

- JICA has contributed to socio-economic programmes through Technical Education and Skills Development Agency (TESDA). Its knowledge and experience, especially assisting in job training for agriculture, can collaborate on planning community-based approaches in terms of training to former combatants and PAG members. This will enable them to take an opportunity for livelihood beyond holding weapons. Meanwhile, due to the security guidelines of Japan, JICA cannot access conflict-prone areas in the BARMM which this programme mainly targets. Hence, this intervention is able to lead to a supplementary effect so that UNDP will carry out the programme where JICA does not exist.
- A Japanese consulting company had conducted community assessment in the Autonomous Region in Muslim Mindanao (ARMM) in 2012-2015 through JICA's project. Japanese companies' knowledge and experience in socio-economic research on needs in (post-)conflict environment could help provide technical support and launch this new programme in Mindanao (NB: All procurement is conducted in accordance with transparent procedures of UNDP).
- Cooperation with a Japanese NGO and Japanese companies producing heavy construction equipment could be considered for infrastructure development (in accordance with transparent procurement procedures of UNDP). By utilizing Japanese well-developed technology with technical advice, this would help achieve environmentally friendly and sustainable community building in accord with SDGs.

Risks and Assumptions

National and local elections in 2022: The upcoming elections in May 2022 could yield a new leadership in LGUs and cause extended violence. A mitigation measure would be to ensure that the programme adopts a participatory and consultative approach in the planning and implementation of activities to ensure buy-in among the stakeholders and ensure that political dynamics are given due consideration.

The COVID-19 pandemic and natural hazards: In view of the COVID-19 mobility restrictions and natural hazard loss, the programme implementation will be delayed. The programme will closely communicate with the stakeholders, including the JNC, updating them on the programme timelines to ensure that the delay will have a minimal impact on operations.

Stakeholder Engagement

The primary target groups for the programme include the JNC, the OPAPRU and the MILF as consulting partners. The additional specific partnership will be established in the course of programme implementation with Task Force for the Decommissioned Combatants and their Communities (TFDCC), Joint Task Forces on Camps Transformation (JTFACT), Armed Forces of the Philippines (AFP) and Philippine National Police (PNP) as well as Local Government Units (LGUs) in the BARMM. Throughout the implementation of the programme, platforms of multi-sectoral, multi-level stakeholder engagement will be established and sustained.

Women: As per the UN Security Council resolution 1325 (2000) on women, peace and security, a global governance norm has reaffirmed women's important role in the maintenance and promotion of peace and security. UNDP Philippines is also implementing a new initiative on Women, Peace, and Security in the BARMM in partnership with the Bangsamoro Women's Commission. Members of the MILF's Bangsamoro Islamic Women's Auxiliary Brigade (BIWAB) are part of the leadership of this initiative. The BIWAB constitutes about ten (10) percent of the overall number of MILF combatants and can assist in identifying women combatants, community facilitators, and local leaders who could participate in activities and benefit from its support. The percentage of women's former combatants is about 7-10% (based on the data of the Phase 3 decommissioning process).

Youth: In line with the development of the Bangsamoro Regional Action Plan on Youth, Peace and Security (RAP-YPS, supported by UNDP), the programme will address recommendations from across UNSCR 2250, giving youth from target communities the opportunity to engage actively with assessments, and programme design and implementation. Ongoing analysis under the RAP-YPS (youth situational analysis) will also be utilized to inform specific interventions for youth combatants under this SALW programme.

South-South and Triangular Cooperation (SSC/TrC)

This project will not entail formal South-South or Triangular Cooperation, but technical expertise and lessons learned will be obtained from national experiences on normalisation, combatant transformation, conflict transformation, peacebuilding and resilience to better inform the Philippines' own efforts.

Digital Solutions³

This project will not have digital-related outputs or development outcomes. However, it might be possible to use digital technologies for SALW registration.

Knowledge

The programme will document good practice and lessons learned in the course of programme implementation. It will support internal discussions among the JNC to build knowledge and develop its capacities to promote the

³ Please see the [Guideline "Embedding Digital in Project Design"](#).

normalization process. Additionally, the public will be informed of contributions and achievements for the normalization process through this programme via UNDP social media.

Moreover, terminal evaluation will be conducted to assess the relevance, effectiveness, efficiency, and sustainability of this programme by reviewing progress towards programme results based on the project document and annual work plans. The evaluation will review the programme theory of change vis-à-vis the programme's achievements and risks and assess the programme potential effects on beneficiaries. It will likewise highlight strengths, weaknesses/gaps, good practices, and provide forward-looking recommendations for the design and implementation of future projects for peacebuilding in the BARMM.

Sustainability and Scaling Up

Normalization is the process through which communities affected by armed conflict in Mindanao can return to peaceful life and pursue sustainable livelihoods, free from fear of violence and crime. It involves the transition of the MILF's combatants to a peaceful civilian life, which includes putting their weapons beyond use. Namely, the normalization of the peace-and-security environment for Bangsamoro will require several critical changes in conflict-affected areas. However, the impact of COVID-19 has caused a serious impasse for normalization, including the decommissioning process.

Two phases of the decommissioning involving 12,145 combatants have been completed. Phase three was supposed to be delivered within 2020, but the unpredicted pandemic has burdened the implementation. The rest of decommissioning (targeting 28,000 combatants) was expected to be implemented until 2022 when the Exit Agreement between the GPH and the MILF was supposed to be signed. However, the Bangsamoro Transitional Authority (BTA) had appealed for an extension until 2025 (with the Exit Agreement also being moved to 2025). The extension request was just approved in Congress. Yet, uncertainty over the outcomes of the national and local elections in May 2022 has created unpredictability for the decommissioning and the normalization process, stalling them both.

The proposed intervention has been caused by this unpredictability and is also meant to address its consequences, by moving forward the normalization process and dealing with the growing violence on the ground. Accordingly, this approach is indispensable to sustain the Comprehensive Agreement on Bangsamoro (CAB) signed by the GPH and the MILF, enacted on 27 March 2014, in pursuit of the attainment of just and lasting peace and development in the Bangsamoro and to facilitate its implementation.

Looking at the sustainability of SALW challenges, this programme will aim at assisting in the establishment of Technical Working Groups at the provincial level, composed of the MILF leadership, commanders, ex-combatants and/ or community leaders and LGUs, and also an Arms Control Entity at the national level, composed of the JNC, the JPSC, the MILF Ministries and security sector. They will take a leading role in continuous implementation and management for SALW issues. Through these agencies, it is expected to develop a national action plan for small arms control strategies, including legislation and act, and the border control measures.

In addition, pilot SALW collection and registration will be conducted in the selected four (4) communities (with expectations of two thousand five hundred (2,500) firearms registered and collected). After this programme, it is expected to scall up the implementation of weapons' control programmes to other areas in Mindanao.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

To deliver maximum results with available resources, UNDP already received the endorsement letter dated 7 March 2022 on this programme from the JNC in its capacity as the normalization mechanism directly involved in the programme for SALWs. In the letter, the JNC accepted the programme, which aims to advance the

decommissioning and normalization aspects of the Bangsamoro peace process by addressing the challenge of personal firearms wherein around two thousand five hundred (2,500) firearms were targeted to be registered and collected. UNDP will implement the programme in close partnership with the JNC.

With regard to the activity of registering and collecting personal firearms, UNDP might look at cooperative work with the Independent Decommissioning Body (IDB), which is a body for supporting the decommissioning process of the MILF combatants and weapons.

Project Management

To ensure that programme results are achieved, a Project Advisory Board will be established, which is co-chaired by the UNDP Resident Representative and the Donor Representative of the Embassy of Japan. The Project Board Meeting includes representatives from key development partners and stakeholders, in particular, the representatives of the JNC, the JPSC and contributing partners. The Project Board will meet at least once a year (or more often as needed) to review implementation and provide detailed substantive guidance.

With guidance from the Project Board and under the direct supervision of the UNDP Team Leader of the Peace Programme Team, a Programme Specialist will manage the day-to-day operations of this programme. The Programme Specialist will provide quarterly reports on the progress of implementation. The quarterly reports will include an analysis of the environment of risks and opportunities for the programme, and suggestions for risk mitigation for the consideration of the Project Board.

Visibility of Japan

Security restrictions with regard to the travel of Japanese in some parts of Mindanao will imply that much of the programme implementation will be carried out by UNDP staff. However, full Japanese participation in the programme, as well as recognition for Japanese contributions, will be ensured through the following steps:

Japanese Contributions to Programme Implementation:

- Japan will provide substantive guidance through representation by the Embassy of Japan in Manila in Project Board meetings;
- Japanese officials will be invited to the opening/ closing and all ceremonies of the programme, attended by the GPH and BTA officials and local leaders;
- Donor visits to programme sites will be regularly arranged where Japanese officials will have a chance to monitor the programme, meet state authorities, local leaders and beneficiaries, and exchange views.

Recognition of Japan's Role:

- Banners at all workshops conducted through the programme will bear appropriate Japan's flag/ logo;
- Signboards indicating the Japanese flag/ logo will be installed in all infrastructures;
- Human and success stories will be developed and published on the UNDP website, twitter and social media and shared with the Embassy of Japan;
- The proposed services and facilities will carry visible public recognition of Japanese contributions and will be launched with Japanese participation;
- The programme implementation and achievements will be advertised through both traditional media outlets and social media;
- The Programme Specialist will ensure the visibility of the programme, especially aspects of human security as well as the impact of the programme.

V. RESULTS FRAMEWORK⁴

| Intended Outcome as stated in the UNSDCF/Country [or Regional] Programme Results and Resource Framework: | | | | | | | | |
|--|--|--|----------|------|---|------|---------------------------------|---|
| Outcome3: National and local governments and key stakeholders recognize and share a common understanding of the diverse cultural history, identity and inequalities of areas affected by conflict, enabling the establishment of inclusive and responsive governance systems and accelerating sustainable and equitable development for just and lasting peace in conflict affected areas in Mindanao. | | | | | | | | |
| Outcome indicators as stated in the Country Programme [or Regional] Results and Resources Framework, including baseline and targets: | | | | | | | | |
| Outcome 3.3: UNDP-assisted combatants and conflict-affected communities provided with incentives and capabilities to become productive members of society in times of peace. | | | | | | | | |
| Applicable Output(s) from the UNDP Strategic Plan: Output 3.3.1: Proportion of households in conflict-affected areas accessing financial or non-financial assets. 0% [2017] 20% | | | | | | | | |
| Project title and Atlas Project Number: Assistance for Security, Peace, Integration and Recovery for Advancing Human Security in BARMIM (Short title: ASPIRE) | | | | | | | | |
| EXPECTED OUTPUTS | OUTPUT INDICATORS ⁵ | DATA SOURCE | BASELINE | | TARGETS (by frequency of data collection) | | DATA COLLECTION METHODS & RISKS | |
| | | | Value | Year | 2023 | 2024 | | 2025 |
| Output 1 The JNC's (both the GPH and the MILF) management capacity was strengthened, policies on loose firearms were developed by introducing mapping to identify the highest risk of violence, and SALW | 1.1.1: No. of base commands that have undergone area profiling and mapping | Coordination meetings with the JNC, the JPSC and the MILF leadership. | 0 | 2022 | 4 | 4 | 4 | <ul style="list-style-type: none"> Review of project reports and meeting documentation. |
| | 1.2.1: No. of participants indicated in the documentation report on the consultations / trainings conducted with BC/ LGU personnel on SALW | Advocacy workshops with the JNC, the JPSC, the MILF leadership, TFDC, JTFCT, security sector and LGUs on | 0 | 2022 | 120 (30 x 4) | 120 | 120 | <ul style="list-style-type: none"> Review of documentation reports of meetings. Review of signed documents. |
| | 1.2.2: No. of signed documentation or pledges of support to the SALW project issued by the peace mechanisms | | 0 | 2022 | 4 | 4 | 4 | |

⁴ UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

⁵ It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

| EXPECTED OUTPUTS | OUTPUT INDICATORS ⁵ | DATA SOURCE | BASELINE | | TARGETS (by frequency of data collection) | | | DATA COLLECTION METHODS & RISKS |
|--|--|--|----------|------|---|----------|-------------|--|
| | | | Value | Year | 2023 | 2024 | 2025 | |
| <p>proliferation was prevented.</p> <p>At least a fourth of all participants of workshops will be women.</p> | | SALW programme design and implementation. | | | | | | |
| | 1.3.1: Percentage of baseline database completed (target 2,500) | Trainings for the MILF | 0 | 2022 | 20% | 50% | 100% | <ul style="list-style-type: none"> Review of project reports, including draft assessment reports. Review of highlights of meetings. |
| | 1.3.2: No. of personnel of relevant Ministries and LGUs trained on SALW protocols | Ministries and LGU personnel. | 0 | 2022 | 25 | 50 | 50 | |
| | 1.4.1: No. of TWG on SALW established at the provincial level | Trainings and workshops for devising action plans of the selected BC and communities. | 0 | 2022 | 2 | 4 | 4 | <ul style="list-style-type: none"> Review of project reports. Review of highlights of meetings. Review of draft action plans. |
| | 1.4.2: No. of action plans developed for collecting, registering and disposing of loose firearms, and crafting manuals on SALW operation and management | | 0 | 2022 | 2 | 4 | 4 | |
| | 1.5.1: Extent of support in establishing an Arms Control Entity at the national level (Inadequate – no evidence of support from stakeholders; Adequate – evidence (documentation) of support from stakeholders; Substantial – evidence of public proclamations or proposed legislation to establish the Arms control entity | Coordination meetings and workshops with the JNC, the JPSC, the MILF Ministries and security sector. | 0 | 2022 | Inadequate | Adequate | Substantial | <ul style="list-style-type: none"> Review of project reports. Review of highlights of meetings. Review of draft action plans. |
| | 1.5.2: Extent of development of an action by the peace mechanisms (inadequate – no existing draft; | | 0 | 2022 | Inadequate | Adequate | Substantial | |

| EXPECTED OUTPUTS | OUTPUT INDICATORS ⁵ | DATA SOURCE | BASELINE | | TARGETS (by frequency of data collection) | | | DATA COLLECTION METHODS & RISKS |
|---|--|--|----------|------|---|----------|-------------|--|
| | | | Value | Year | 2023 | 2024 | 2025 | |
| | adequate – evidence of draft action plan, substantial – approved action plan | | | | | | | |
| | 1.6.1: No. of firearms from the MILF communities registered and collected | Equipment and resources to implement SALW registration and collection procured for the selected 4 areas. | 0 | 2022 | 0 | 1000 | 2000 | <ul style="list-style-type: none"> • Review of project reports. • Review of highlights of meetings. |
| Output 2 Camp transformation for the reintegration of the MILF decommissioned combatants into communities as proactive members was facilitated through establishing an industrial infrastructure and strengthening the MILF | 1.6.2: No. of firearms from PAG communities registered and collected | | 0 | 2022 | 0 | 250 | 500 | |
| | 2.1.1: No. of community assessment reports produced | Contracting with a consulting company. | 0 | 2022 | 2 | 2 | 2 | <ul style="list-style-type: none"> • Review of project reports. • Review of highlights of meetings. • Review of draft assessment reports. |
| | 2.2.1: Extent of involvement of key stakeholders in the consultation and training workshops (target of 10 JMC & JPSC; 20 TFDCC & JTFCT; 10 TWC x 2 BC; 10 other members x 2 BC, such as BIWAB, mediators' groups, an intra-faith group & security sector) | Planning sessions for devising community-based approaches to the selected 2 BC. | 0 | 2022 | Adequate | Adequate | Substantial | <ul style="list-style-type: none"> • Review of highlights of meetings, including attendance sheets. • Review of draft action plans. |
| | 2.2.2: Extent of development of an action plan by the peace mechanisms (inadequate – no existing draft; | | 0 | 2022 | Adequate | Adequate | Substantial | |

| EXPECTED OUTPUTS | OUTPUT INDICATORS ⁵ | DATA SOURCE | BASELINE | | TARGETS (by frequency of data collection) | | | DATA COLLECTION METHODS & RISKS |
|---|---|--|----------|------|---|----------|-------------|---|
| | | | Value | Year | 2023 | 2024 | 2025 | |
| leadership capacity. <i>At least a fourth of all participants of workshops will be women.</i> | adequate – evidence of draft action plan, substantial – approved action plan | | | | | | | |
| | 2.3.1: Percentage of agreed upon heavy equipment or farm machinery procured | Equipment to ensure community-based approaches procured at the 2 BC. | 0 | 2022 | 25% | 50% | 100% | <ul style="list-style-type: none"> Validation with beneficiaries on the receipt of equipment, machinery or transport vehicles. |
| Output 3 Resilient community building for private armed groups (PAGs) transitioning to alternative livelihoods was supported through establishing an industrial infrastructure and strengthening the JNC's (the GPH side) | 2.3.2: No. of transport vehicle procured | | 0 | 2022 | 1 | 1 | 1 | |
| | 3.1.1: No. of communities that have undergone needs assessment | Contracting with a consulting company. | 0 | 2022 | 2 | 2 | 2 | <ul style="list-style-type: none"> Review of project reports. Review of highlights of meetings. |
| | 3.2.1: Extent of involvement of key stakeholders in the consultation / training workshops (target of 10 JNC & JPSC; 20 TFDCC & JFCT; 10 TWG x 2 BC; 10 other members x 2 BC, such as BIWAB, mediators' groups, an intra-faith group & security sector) Inadequate – no representatives from key stakeholder groups; adequate – more than half of stakeholders groups represented; substantial – most of the stakeholder groups are represented. | Planning sessions for devising community-based approaches to the selected 2 communities. | 0 | 2022 | Adequate | Adequate | Substantial | <ul style="list-style-type: none"> Review of project reports. Review of highlights of meetings. |
| | 3.2.2: No. community-based approaches devised | | 0 | 2022 | 2 | 2 | 2 | |

| EXPECTED OUTPUTS | OUTPUT INDICATORS ⁵ | DATA SOURCE | BASELINE | | TARGETS (by frequency of data collection) | | | DATA COLLECTION METHODS & RISKS |
|--|--|---|----------|------|---|------|------|---|
| | | | Value | Year | 2023 | 2024 | 2025 | |
| management capacity. <i>At least a fourth of all participants of workshops will be women.</i> | 3.3.1: Percentage of agreed upon heavy equipment or farm machinery procured | Equipment to ensure community-based approaches procured in the 2 communities. | 0 | 2022 | 50% | 100% | 100% | <ul style="list-style-type: none"> Validation with beneficiaries on the receipt of equipment, machinery or transport vehicles. |

VI. MONITORING AND EVALUATION

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

Monitoring Plan

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

| Monitoring Activity | Purpose | Frequency | Expected Action | Partners (if joint) | Cost (if any) |
|---------------------------------------|--|-------------------|--|---------------------|---------------|
| 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. | At least annually | Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified. | N/A | USD 20,000 |

Evaluation Plan⁶

| Evaluation Title | Partners (if joint) | Related Strategic Plan Output | UNSDCF/CPD Outcome | Planned Completion Date | Key Evaluation Stakeholders | Cost and Source of Funding |
|---------------------|---------------------|--|--|-------------------------|--|----------------------------|
| Mid-Term Evaluation | N/A | Output 3.3.1: Proportion of households in conflict-affected areas accessing financial or non-financial assets. 0% [2017] 20% | Outcome3: National and local governments and key stakeholders recognize and share a common understanding of the diverse cultural history, identity and inequalities of areas affected by conflict, enabling the establishment of inclusive and responsive governance systems | March 2024 | | |
| Terminal Evaluation | N/A | | | May 2025 | UNDP, JNC, JPSC, OPAPRU, MILF, LGU, Technical Working Group, EOJ | USD 50,000 |

⁶ Optional, if needed

VII. MULTI-YEAR WORK PLAN⁷⁸

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 | | | RESPONSIBLE PARTY | Funding Source | PLANNED BUDGET | |
|--|---|------------------------|------|------|-------------------|----------------|--|--|
| | | 2023 | 2024 | 2025 | | | Budget Description | Amount |
| Output 1: The JNC's (both the GPH and the MILF) management capacity was strengthened, policies on loose firearms were developed by introducing mapping to identify the highest risk of violence, and SALW proliferation was prevented Gender marker: GEN 2 - Identifying women and youth decommissioned combatants and PAGs. | 1.1: Identify for the Peace Panels at least 4 base commands/ communities at the highest risk of violence, and create hazard mapping 1.2: Provide technical advice and support to the JNC in order the selected base commands/ communities to execute an agreement for a SALW programme | X | | | UNDP | Japan | 71600 - Travel 72500 - Supplies 75700 - Learning Cost | 6,197.00 563.00 26,250.00 |
| | 1.3: Establish baseline data of loose firearms 1.4: Establish Technical Working Groups (TWG) at the provincial level on operation and management of the SALW programme, and devise an action plan in each selected base communities/ | X | X | | UNDP | Japan | 71300 - Local consultant 71600 - Travel 72500 - Supplies 75700 - Learning Cost | 219,248.00 10,167.00 16,525.00 2,000.00 87,332.00 |
| | | X | X | | UNDP | Japan | 64300 - Staff 71300 - Local consultant 71600 - Travel 72500 - Supplies 75700 - Learning Cost | 1,000.00 6,197.00 52,500.00 1,125.00 |
| | | X | | X | UNDP | Japan | 64300 - DPC Staff 71300 - Local consultant 71600 - Travel 72500 - Supplies 75700 - Learning Cost | 208,903.00 40,500.00 20,656.00 3,750.00 153,750.00 |

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

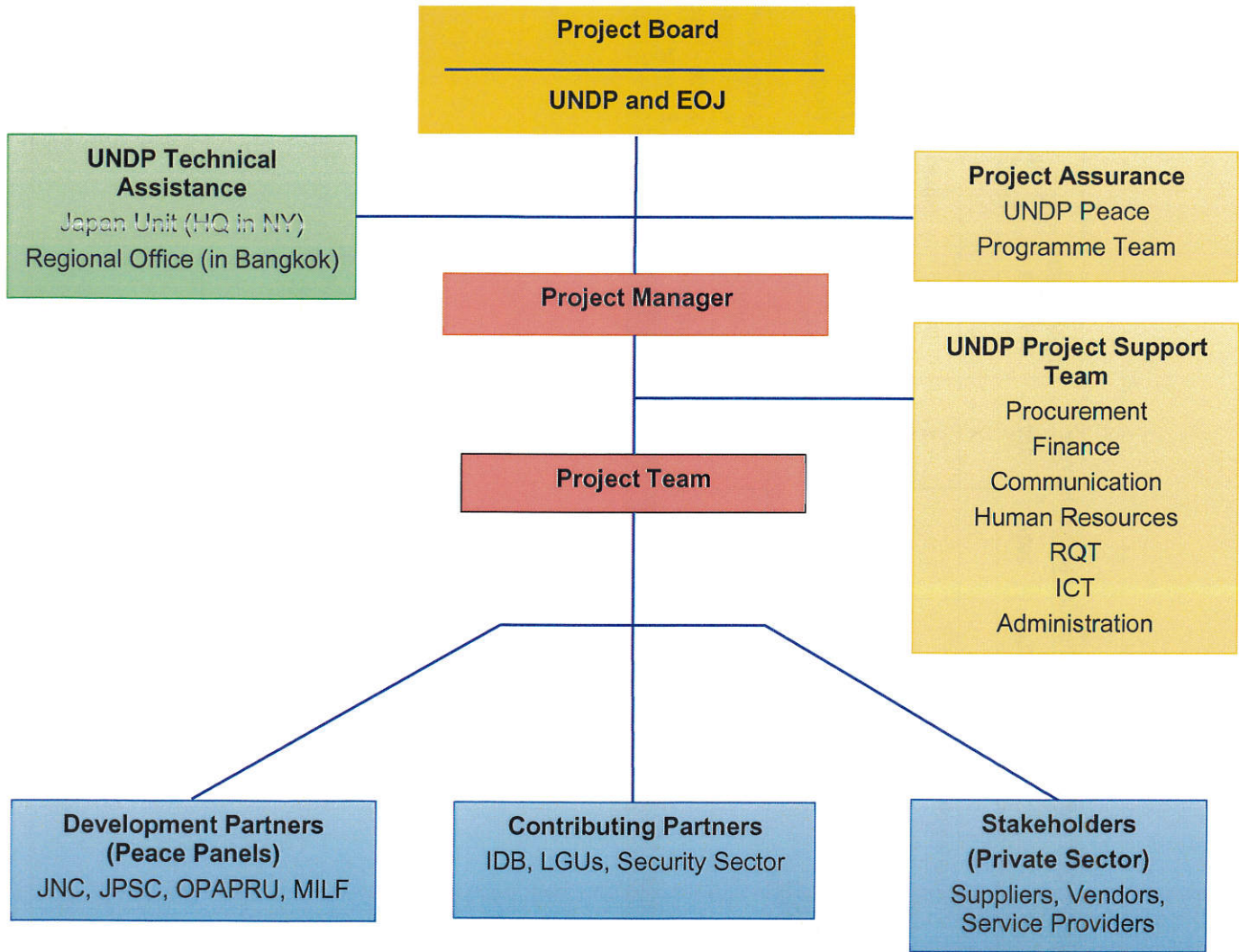
⁸ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection.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

| EXPECTED OUTPUTS | PLANNED ACTIVITIES | Planned Budget by Year | | | RESPONSIBLE PARTY | Funding Source | PLANNED BUDGET | | |
|---|--|-------------------------------|------|------|-------------------|----------------|--|---|---------------------|
| | | 2023 | 2024 | 2025 | | | Budget Description | Amount | |
| | <p>1.5: Establish an Arms Control Entity at the national level, and devise a national action plan for sustainability of the SALW programme</p> <p>1.6: Implement SALW registration and collection in selected base commands/communities</p> | X | X | X | UNDP | Japan | 71600 - Travel 72500 - Supplies 75700 - Learning Cost | 16,525.00 1,500.00 85,000.00 | |
| | | X | X | X | UNDP | Japan | 71300 - Consultant 71600 - Travel for the consultant 72400 - Communication & Audio Visual Equip 71600 - Travel | 200,000.00 120,000.00 135,520.00 | |
| | | Sub-Total for Output 1 | | | | | | | 1,519,454.00 |
| <p>Output 2: Camp transformation for the reintegration of the MILF decommissioned combatants into communities as proactive members was facilitated through establishing an industrial infrastructure and strengthening the MILF leadership capacity</p> <p><i>Gender marker: GEN 2</i></p> <ul style="list-style-type: none"> - Assessing socio-economic needs of not only decommissioned men and women combatants themselves but also their families (partners and children) are targeted in terms of a holistic approach. - Gender and youth perspectives must be included in the entire process of assessment and planning. | <p>2.1: Identify community-based socio-economic needs, equipment and infrastructure required to finalize camp transformation plans for the selected 2 base commands (BC)</p> <p>2.2: Provide technical advice and coordination support to MILF leadership and commanders/ BC leaders for organizing community development orientations and planning sessions</p> <p>2.3: Procure critical infrastructure to enable community-based approaches</p> | X | | | UNDP | Japan | 72100- Contractual Services- Companies | 200,000.00 | |
| | | X | X | X | UNDP | Japan | 64300 - Staff 71400 - NPSA Staff 71300 - Local consultant 71600 - Travel 72500 - Supplies 75700 - Learning Cost | 164,436.00 63,000.00 16,250.00 8,263.00 2,500.00 84,000.00 | |
| | | X | X | X | UNDP | Japan | 72200 - Equipment and Furniture | 795,000.00 | |
| Sub-Total for Output 2 | | | | | | | | | 1,333,449.00 |

| EXPECTED OUTPUTS | PLANNED ACTIVITIES | Planned Budget by Year | | | RESPONSIBLE PARTY | PLANNED BUDGET | | | |
|--|--|-----------------------------------|------|------|-------------------|----------------|--|---|--|
| | | 2023 | 2024 | 2025 | | Funding Source | Budget Description | Amount | |
| <p>Output 3: Resilient community building for private armed groups (PAGs) transitioning to alternative livelihoods was supported through establishing an industrial infrastructure and strengthening the JNC's (the GPH side) management capacity</p> <p><i>Gender marker: GEN 2</i></p> <ul style="list-style-type: none"> - Assessing socio-economic needs of not only men and women PAGs themselves but also their families (partners and children) are targeted in terms of a holistic approach. - Gender and youth perspectives must be included in the entire process of assessment and planning. | <p>3.1: Identify community-based socio-economic needs, equipment and infrastructure required to finalize community development plans for the selected 2 communities</p> <p>3.2: Provide technical advice and coordination support to LGU and community leaders for organizing community development orientations and planning sessions</p> <p>3.3: Procure critical infrastructure to enable community-based approaches</p> | X | | | UNDP | Japan | 72100- Contractual Services- Companies | 200,000.00 | |
| | | X | X | X | UNDP | Japan | 64300 - Staff 71400 - NPSA Staff 71300 - Local consultant 71600 - Travel 72500 - Supplies 75700 - Learning Cost | 164,436.00 63,000.00 16,250.00 8,263.00 1,875.00 63,000 | |
| | | X | X | X | UNDP | Japan | 72200 - Equipment and Furniture | 750,000.00 | |
| | Sub-Total for Output 3 | | | | | | | | |
| | Programme Management Cost (PMC) | | | | | | | | |
| | | 1. Salaries | X | X | X | UNDP | Japan | 71400 - NPSA Staff 64300 - DPC Staff | 122,100.00 72,081.00 |
| | | 2. Equipment and Supplies | X | X | X | UNDP | Japan | 72400 -Communication & Audio Visual Equip 72200 - Equipment and furniture | 12,500.00 26,618.00 |
| | | 3. Offices in Cotabato and Manila | X | X | X | UNDP | Japan | 74500 - DPC GOE 73100 - Common Premises 72200 - Equipment and furniture 73400 - RMOE transportation 72300 - Materials and Goods | 4,250.00 40,625.00 45,000.00 4,641.00 6,250.00 |
| | | 4. Other costs and Services | | | | | | | |

| EXPECTED OUTPUTS | PLANNED ACTIVITIES | Planned Budget by Year | | | RESPONSIBLE PARTY | Funding Source | PLANNED BUDGET | |
|--|--------------------------------|------------------------|------|------|-------------------|----------------|--------------------------------------|---------------------|
| | | 2023 | 2024 | 2025 | | | Budget Description | Amount |
| | 4.1. Audit | | | X | UNDP | Japan | 74100 – Audit Fees | 25,000 |
| | 4.2. Monitoring and Evaluation | | X | X | UNDP | Japan | 74100 – Capacity Assessment | 50,000 |
| | 4.3. Project Board Meeting | X | X | X | UNDP | Japan | 75700 - Learning Cost | 20,000 |
| | 4.4. Donor Visibility Actions | X | X | X | UNDP | Japan | 74200 -Audio Visual&Print Prod Costs | 35,000 |
| | Sub-Total for | | | | | | | 464,065.00 |
| General Management Support (8%) | | X | X | X | UNDP | Japan | 75100 - Facilities & Administration | 366,703.00 |
| UNRCO Levy (1%) | | X | X | X | UNDP | Japan | 74500 - Miscellaneous Expenses | 49,505.00 |
| TOTAL | | | | | | | GRAND TOTAL | 5,000,000.00 |

Project Organization Structure



IX. LEGAL CONTEXT

*[NOTE: Please choose **one** of the following options, as applicable. Delete all other options from the document]*

Option a. Where the country has signed the [Standard Basic Assistance Agreement \(SBAA\)](#)

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Japan and UNDP, signed on (13 September 2022). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP 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

*[NOTE: Please choose **one** of the following options that corresponds to the implementation modality of the Project. Delete all other options.]*

Option b. 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]⁹ [UNDP funds received pursuant to the Project Document]¹⁰ are used to provide support to individuals or entities associated with terrorism , that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>. 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>).

⁹ To be used where UNDP is the Implementing Partner

¹⁰ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

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. Each responsible party, subcontractor and sub-recipient (each a “sub-party” and together “sub-parties”) acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General’s Bulletin ST/SGB/2003/13 of 9 October 2003, concerning “Special measures for protection from sexual exploitation and sexual abuse” (“SEA”).

- (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment (“SH”). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.
- d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities), and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:
- (i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
 - (ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;
 - (iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;
 - (iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
 - (v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
- e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
- f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall

ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.

- g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, 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, anti-fraud and anti money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
- h. 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 (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) 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.
- i. 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.
- j. 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, corruption other financial irregularities 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.

- k. *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 corruption, other financial irregularities 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 corruption or other financial irregularities 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 corruption or other financial irregularities, 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, corruption or other financial irregularities, 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.
- m. 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.
- n. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

XI. ANNEXES

1. **Project Quality Assurance Report**
2. **Social and Environmental Screening Template** [\[English\]](#) [\[French\]](#) [\[Spanish\]](#), including additional Social and Environmental Assessments or Management Plans as relevant. *(NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country level activities).*
3. **Risk Analysis.** Use the standard [Risk Register template](#). Please refer to the [Deliverable Description of the Risk Register](#) for instructions
4. **Capacity Assessment:** Results of capacity assessments of Implementing Partner (including Partner Capacity Assessment Tool (PCAT) and HACT Micro Assessment)
5. **Project Board Terms of Reference and TORs of key management positions.** The standard Project Board TOR can be found [here](#).
6. **On-Granting Provisions Applicable to the Implementing Partner**¹¹. On-granting clauses for non-UNDP Implementing Partners can be found [here](#).

¹¹ Applicable for non-UNDP Implementing Partner as Grant Making Institution facilitating on-granting.