

PROJECT DOCUMENT
Vanuatu

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Project Title: Vanuatu National Sustainable Development Plan (NSDP) Baseline Survey

Project Number: 00112496

Implementing Partner: Vanuatu National Statistics Office (VNSO)

Start Date: October 2018 **End Date:** 30 September 2020 **PAC Meeting date:** 9th October 2018

Brief Description

The overall development challenge that this project intends to address the weak development planning and coordination to support achievement of inclusive sustainable development through a comprehensive baseline survey.




This project targets to strengthen development planning, coordination, monitoring and reporting to support achievement of inclusive sustainable development through the effective implementation of the Vanuatu National Sustainable Development Plan (NSDP).

The expected results are as follows:

- Robust and informed planning, monitoring mechanism on NSDP effectiveness;
- Improved reporting and monitoring on 2030 agenda for Sustainable Development and the SDGs; and
- Strengthened national capacities and ownership through mainstreamed traditional knowledge (TK) & production skills, natural resource access, traditional ceremonial participation, and other contributing factors to ni-Vanuatu quality of life.

<p>Contributing Outcome By 2022, people in the Pacific, in particular youth, women and vulnerable groups, benefit from inclusive and sustainable economic development that creates decent jobs, reduces multidimensional poverty and inequalities, and promotes economic empowerment.</p> <p>Indicative Output(s) with gender marker: SRPD Output 3.1. National and local institutions enabled to put in place evidence-based, risk informed and gender-sensitive policies, guiding participatory planning and budgeting processes and aligned with SDGs.</p> <p>Output 1: <i>Data informed Vanuatu NSDP Established</i> (GEN1) Output 2: <i>National Sustainable Development Data Managed & Shared</i> (GEN1)</p>	Total resources required:	\$827,554	
	Total resources allocated:	India - UN Development Partnership	USD600,000
		UNDP TRAC:	USD20,000
		Government In-Kind:	USD207,554
	Unfunded:		

Agreed by (signatures)¹:

Government	UNDP
 	
Print Name:	Print Name: Bakhodir Burkhanov
Date:	Date: 16/10/2018

¹ Note: Adjust signature if needed

A comprehensive survey, with emphasis on quality of data, is required to track progress against expressed national priorities. While the NSDP M&E Framework is a guideline for the information needs for monitoring the NSDP, the survey will enable national authorities to identify the information gaps and potentially provide sectors with relevant data used to prioritise policy interventions. The new NSDP combined with the survey will provide the Government with the opportunity to consider measures for longer term improvements in the functions and capacity of the statistical system in terms of performance, understanding of role and promotion of improved collection methods that promote evidence-based decision making across Government.

II. STRATEGY

The Project will apply a Theory of Change process to define how and why change will take place through the project, based on the assumptions underlying the development challenge. The Theory of Change promotes effectiveness through predicting *Change Pathways* to inform planning with evidence of what has worked elsewhere based on available knowledge and helps to think about longer-term changes to embed sustainability of survey results. Theory of Change problem tree and solutions pathway is incorporated as an appendix to this Project Document.

To respond to the development challenge that has been described in the previous section, the project will directly support Vanuatu's efforts to undertake a comprehensive survey to strengthen country-evidence based and pro-poor planning and budgeting, policy formulation and implementation. Emphasis is given to ensuring that the processes are realistic and context specific. The analysis of the survey results should encourage the increased adoption of evidence-based planning and budgeting and policy formulation, where plans and budgets are more closely aligned under multi-year frameworks.

In terms of UNDP policy framework, the project strategy is aligned with Outcome 3, where by 2022, people in the Pacific, in particular youth, women and vulnerable groups, benefit from inclusive and sustainable economic development that creates decent jobs, reduces multidimensional poverty and inequalities, and promotes economic empowerment. Under the project, national and local institutions will be enabled to put in place SDG aligned, evidence-based, risk-informed and gender-sensitive policies, guiding participatory planning and budgeting processes. The survey analysis will further strengthen the alignment of national and sector planning and budgeting, while paying specific attention to ensure that national budgets are aligned to the needs of the most disadvantaged in the country. This alignment will allow for better policy formulation and programming to address the different capacity needs and cost structures of providing services to rural and urban areas, a situation which is exacerbated in countries where transport and communications to outer island and isolated communities remain a challenge. The baseline survey will support monitoring of the NSDP policy objectives and, as with all collections, will help to align national and sector planning and budgeting.

The Vanuatu National Statistics Office (NSO) was the first NSO in the Pacific region to conduct a national census with tablet-based technology using The World Bank's Survey Solutions software in 2016. Over 300 interviewers, field supervisors, headquarter supervisors and NSO staff received training in the use of tablet technology. The lessons learned will be applied to the NSDP Baseline Survey, where Vanuatu is posed to be the first Pacific Island Country to conduct a HIES using tablet data entry over a 12-month period. This will establish the new regional standard for HIES collection as supported by the regional technical body and methods boards.

III. RESULTS AND PARTNERSHIPS

In line with the project's overall goal the following are the expected outputs that have been identified as critical to achieve the project's goal:

Output 1: Data informed Vanuatu NSDP Established

Vanuatu has in place NSDP to promote more equal influence over prioritisation of needs, the allocation of resources and the monitoring of outcomes at national, sub-national and sector levels. To achieve this output, effective strengthening community level participation in national government planning and budget processes. The Project will carry out comprehensive survey. The survey will help inform line ministries in aligning and budgeting for the priority areas.

The Vanuatu National Statistics Office will be the implementing agency responsible for determining the design of the survey inclusive of sample design, fieldwork planning, training of trainers, interviewers and supervisors, development of the questionnaire, and testing the questionnaire prior to fieldwork. They will also be the agency responsible for oversight of collection inclusive of quality controls. This is in line with normal procedures for this type of survey in Vanuatu and is in accordance with the existing mandate for VNSO to be the agency responsible. Questionnaire development will take into account NSDP and SDG needs and, as such, will involve the Department of Strategic Policy, Planning and Aid Coordination (DSPPAC) Monitoring & Evaluation Unit and Sector Analysts. Technical advice will be given by UNDP Pacific Office as requested by the Survey Steering Committee.

Output 2: National Sustainable Development Data Managed & Shared

Analysing the data obtained from survey producing survey reports, building awareness of the data and disseminating the survey results are the final steps in the survey process. The results will be used in many ways to establish baseline to measure changes or trends and to inform the development of programmes. It is very important, therefore, that the analysis be carried out with careful attention to the details of calculation and interpretation. The VNSO may seek technical assistance with analysis and reporting from technical partners including UNDP.

Expected Results

The project strategy includes the production of a number of outputs:

- **NSDP Baseline Survey Basic Tables Report**
- **Melanesian Wellbeing Baseline Report**
- **Household Income & Expenditure Report**
- **Poverty Analysis Report**
- **Youth, Disability and Women Monograph Reports**
- **Rebasing of Consumer Price Index and National Accounts**

Technical assistance may be sought for specialized analysis and *must be inclusive of capacity building at VNSO and other national agencies within the statistical system*. It will be the aim of this initiative to improve how data is reported and disseminated so that more stakeholders have access to information in an appropriate format.

Resources Required to Achieve the Expected Results

It is the intention of the UNDP that all of the project activities be implemented in partnership with government of Vanuatu allowing for complementary resource sharing. Project resources will be used to maximise impact and to procure required technical and managerial services to support the survey. Costing details are mapped in the Multi-Year Work Plan of the project.

Resources in terms of staff time from the Vanuatu National Statistics Office, as the implementing agency for the survey, as well as any technical assistance the VNSO requests for analysis and reporting will be required to achieve the expected project outputs. These resources are embedded within the

project activities and will be defined further in the Annual Work Plans during the project implementation.

Relationship to UNDP Strategic Plan and United Nations Pacific Strategy (UNPS)

The project is closely aligned with the vision, outcomes and approach set out in **UNDP's 2018-2022 Strategic Plan** and its focus on promoting sustainable human development that recognizes the three elements of sustainable development as promoted through the 2030 Agenda while highlighting the importance of data collection and analysis as a necessary ingredient to achieve sustainable development through Vanuatu's NSDP.

Project delivery will be demand driven and reflect the key UNDP Strategic Plan Principles of:

- Being guided by national ownership and capacity with Vanuatu making decisions on how best to meet their people's aspirations and with UNDP helping to develop the policies, leadership skills, partnering abilities and institutional capabilities that can sustain survey results over time;
- Utilizing sustainable human development to guide our contributions, understanding the concept to mean the process of enlarging people's choices by expanding their capabilities and opportunities in ways that are sustainable from the economic, social and environmental standpoints, benefiting the present without compromising the future;
- Reflecting the pivotal significance of gender equality and women's empowerment, understanding that sustainable human development will not be fully achieved unless women and girls are able to contribute on an equal basis with men and boys to their societies;
- Ensuring participation and voice in pursuit of equitable access to development opportunities and gains across the population, working with the poor and other excluded groups, whether women, youth, indigenous peoples or the disabled, as agents of their own development;
- Advancing South-South and triangular cooperation, in line with their own principles, utilizing our institutional capacities and resources;

The Pacific region UNPS has five outcome areas: environmental management climate change and disaster risk management; gender equality; poverty reduction and inclusive economic growth; basic services (health and education); and governance and human rights. The achievement of all outcome areas requires strong national ownership together with effective coordination and national commitment to inclusive development planning and budgeting. The baseline survey will collect data relevant for the monitoring of the Global Agenda and SDGs in Vanuatu and will be beneficial for UN and UNDP in terms of monitoring the implementation of the UN Pacific Strategy and the UNDP SRDP in Vanuatu.

Partnerships

The main partnership will be the Vanuatu National Statistics Office. However, to achieve increased ownership of sectoral priorities, partnerships and relationships will have to be formed with other government agencies including the Department of Strategic Policy Planning and Aid Coordination (DSPPAC). The DSPPAC is the agency responsible for the development of the NSDP and has Sector Analysts in place to ensure the questionnaire developed will inform directly the policy needs of the Government. The VNSO will seek to verify the questionnaire by reaching out to all national stakeholders inclusive of all departments and agencies within the statistical system, as well as NGOs and development partners, prior to finalization of the questionnaire. This is the standard procedure for the VNSO for all major collection initiatives.

The Government of India will be given visibility and credit for its role supporting the initiative, including at relevant public and media engagements, as well as through prominent display of logo or relevant partnership signage on project materials and at all relevant opportunities.

Risks and Assumptions

Project risks are comprehensively identified in the Risk Log attached. However, the actions is based on the following assumptions:

- Continuing engagement with VNSO and DSPPAC for technical support in developing the questionnaire.
- Willingness of women and girls to take part equally in the survey and to answer questions to their best ability
- Availability of other UN agencies to contribute towards design of questionnaires
- Openness of each society member to engage in the survey

Stakeholder Engagement

The NSDP and NSDP M&E Framework widely consulted civil society groups including youth, women, religious leaders, traditional leaders, NGOs and development partners. The process was inclusive of every level of government as well. Consultations for the NSDP began in 2013 and continued through to it's launch in January 2017. The key indicators have been identified in this manner and were launched in the second half of 2017.

The VNSO will likewise work closely with DSPPAC and all producers and users within the Vanuatu Statistical System, as well as regional technical partners and experts, to develop the questionnaire intended to inform on the NSDP policy objectives.

South-South and Triangular Cooperation (SSC/TrC)

UNDP brings its global network, and will link broader global experience with the Vanuatu context where appropriate. Consideration will also be given to South-South cooperation initiatives with other Countries in the region facing similar challenges.

Knowledge

The project will launch and disseminate survey results. It will also produce option papers and operational plans as outlined in Output 1 and Output 2. At its core, the project recognizes that knowledge and learning are fundamental to the achieve Vanuatu's NSDP objectives.

Sustainability and Scaling Up

The project will use existing systems and processes currently used by the Vanuatu National Statistics Office rather than creating parallel systems. This will ensure both sustainability and cost-effectiveness of the technical and human resource assistance while promoting national ownership. UNDP will also provide technical advice in areas speciality in endeavouring to mainstream the 2030 Agenda in monitoring, planning and budgeting systems within Government that lead to improved service delivery and also for the attainment of the SDGs. At all times attention will be paid to positioning any technical support in the context of the existing national systems at their request and to ensure that any country visits are timed to maximize participation by counterpart staff. The project will ensure continuity of support through on-line links to technical advice as well as the development of networks with others working in similar situations in other parts of the region to encourage problems and issues to be discussed and solved together.

IV. PROJECT MANAGEMENT

Project Management

Cost Efficiency and Effectiveness

Cost efficiency and effectiveness in the project management will be achieved through adherence to the UNDP Programme and Operations Policies and Procedures (POPP) and reviewed regularly through the governance mechanism of the Project Board. In addition, there are specific measures for ensuring cost-efficient use of resources through using a portfolio management approach. For its capacity building activities, the project will utilise outside experts as well as in-house experts from within UNDP.

Project Management

The project is to be implemented by the Vanuatu National Statistics Office in Port Vila, Vanuatu. A Survey Coordinator has already been assigned for the initiative, Mr Harry Nalau, and through his direction a Project Assistant and Finance Officer are to be hired. The project will be delivered through a National Implementation Modality (NIM). The project's Multi-Year Work Plan provides all details of associated management expenses to be incurred over the project duration.

The project team for the direct implementation of the project will comprise of a:

- Project Management Team (Survey Coordinator, Assistant Survey Coordinator, Survey Finance Officer)
- Technical Adviser and International Consultants as required
- Survey Steering Committee (Project Management Team, Government Statistician, Senior Statisticians at VNSO, DSPPAC M&E Representative)

The associated Direct Project Costing (DPC) that will be incurred by UNDP in providing project management and technical project implementation support is effectively indicated in the Multi-Year Work Plan. Preferential GMS rate for South-South cooperation of 3% applies to this project supported by India.

The full budget for the NSDP Baseline Survey has been finalized and is inclusive of the needs of data collection, analysis and dissemination as outlined by the Vanuatu National Statistics Office.

V. RESULTS FRAMEWORK

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:

By 2022, people in the Pacific, in particular youth, women and vulnerable groups, benefit from inclusive and sustainable economic development that creates decent jobs, reduces multidimensional poverty and inequalities, and promotes economic empowerment

Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:

Number of PICTs in which the proportion of men, women, youth and children of all ages living in poverty in all its dimensions, according to national definitions, has decreased, based on the latest available data

Applicable Output(s) from the UNDP Strategic Plan:

Output 3.1. National and local institutions enabled to put in place evidence-based, risk informed and gender-sensitive policies, guiding participatory planning and budgeting processes and aligned with SDGs.

Project title and Atlas Project Number: 00112496

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year ...		FINAL
Output 1 Data informed Vanuatu NSDP Established GEN1	IRRF indicator 1.1.1.1 (Existence of data collection/analysis mechanisms providing disaggregated data to monitor progress towards SDGs)	VNSO	0%	2018	12%	82%					Written declaration of progress from Survey Coordinator, VNSO
	1.1 % of Baseline NSDP Survey fieldwork completed				56 Enumeration Areas	392 Enumeration Areas (448 total)					
	1.2 Proportion of survey questions that require data disaggregated by sex;		0%		30%	30%					
	1.3 Proportion of survey sample group that are female		0%		40%	40%					

Output 2 National Sustainable Development Data Managed & Shared GEN1	2.1 % population (disaggregated gender data) that are recipients of the NSDP baseline survey results and knowledge & communication products 2.2 Extent of the NSDP knowledge products that advocates inclusion Scale 1 - Low 2 - Medium 3 - High	VNSO	0	2018	30%	70%					Online Publication of Reports by VNSO, Receipt of Reports by UNDP Programme Manager for Vanuatu
			1	2018	2	3					

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 and any financing needs for this will be taken from the 3% overhead fee for this project by UNDP:

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. Overall progress tracking	Quarterly Monthly 2-3 bullet points submitted via email through the India-UNDP Fund Secretariat at UNOSSC	Slower than expected progress will be addressed by project management.	UNDP Project and Report to Steering Committee	
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.	UNDP Project and Report to Steering Committee	
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	Annually	Relevant lessons are captured by the project team and used to inform management decisions.	UNDP Project and Report to Steering Committee	
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.	After 2 years from start date	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP Project and Report to Steering Committee	
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	Annually	Performance data, risks, lessons and quality will be discussed by	UNDP Project and Report to	

	<p>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.</p>	<p>Bi-annually (every 6 months), and at the end of the project (final report)</p>	<p>Submit report to the India-UN Fund through its Secretariat at UNOSSC</p>	<p>Steering Committee UNDP Project and Report to Steering Committee</p>	
<p>Project Review (Project Board)</p>	<p>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.</p>	<p>Annually</p>	<p>Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.</p>	<p>UNDP Project and Report to Steering Committee</p>	

VII. MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount (USD)
Output 1: <i>Data informed Vanuatu NSDP Established</i> <i>Gender marker: GEN1</i>	1.1 Sample design development of the survey	X				VNSO	VanGov	0	
	1.2 Project Coordinator recruited	X				VNSO	VanGov	4,341	
	1.3 VNSO Staff Roles Defined	X				VNSO	VanGov	0	
	1.4 Equipment Inventory, Quality Check	X				VNSO	VanGov	0	
	1.5 EA Selection and Splitting	X				VNSO	VanGov	0	
	1.6 Project Finance Officer recruitment, hired	X				VNSO	VanGov	2,598	
	1.7 Project Assistant recruitment, hired	X				VNSO	VanGov	17,365	
	1.8 Questionnaire Layout Consultation w/ SPC	X				VNSO	VanGov	1,391	
	1.9 Baseline NSDP Survey Paper Questionnaire Module Development	X				VNSO	VanGov	0	
	1.10 Baseline NSDP Questionnaire Stakeholder Verification Workshop, Launch at closing	X				VNSO	VanGov	5,566	
	1.11 Digital negotiations for CUG, data usage	X				VNSO	VanGov	0	
	1.12 Baseline NSDP Survey CAPI Modules Developed	X				VNSO	VanGov	0	
	1.13 Publicity Campaign	X				VNSO	VanGov	7,347	

	1.14	Training Development	Manual	X				VNSO	VanGov		0
	1.15	All EA Maps Completed	Maps	X				VNSO	VanGov		0
	1.16	Baseline NSDP Survey Field TEST		X				VNSO	VanGov	Field Visits Travel DSA	9,276
	1.17	Powerbank procurement		X				VNSO	VanGov	Procurement	1,623
	1.18	Baseline NSDP Survey Finalization		X				VNSO	VanGov		0
	1.19	Survey field staff recruitment	staff	X				VNSO	VanGov	Salary	186
	1.20	Printing, stationaries, other training purchases		X				VNSO	VanGov	Printing	1,345
	1.21	Survey training of Trainers	training	X				VNSO	VanGov		0
	1.22	Survey training of Enumerators	training	X				VNSO	VanGov	Training	29,208
	1.23	Baseline NSDP Survey Field work		X		X		VNSO	VanGov	Travel DSA Workshop	105,442
	1.24	Baseline NSDP Survey field work ctd		X		X		VNSO	UNDP	Travel DSA Workshop	576,447
		MONITORING						UNDP			10,000
		Sub-Total for Output 1									762,135
Output 2: National Sustainable Development Data Managed & Shared (GEN 1)	2.1	Baseline NSDP Survey data cleaning, processing		X		X		VNSO	VanGov		0
	2.2	Planning analysis outputs, timetables				X		VNSO	VanGov		0
	2.3	Baseline NSDP Survey Analysis				X		VNSO, National Stakeholders & Partners	VanGov	Travel DSA Workshop	9,276

	2.4	Baseline NSDP Survey reporting and dissemination					X					Travel DSA Workshop	12,590
	2.5	UNDP M&E and Audit											20,000
	Sub-Total for Output 2												
	EVALUATION												
		3% Overhead Charge of UNDP Funds (USD \$600,000 x 0.03)	X		X							UNDP	
		UNDP HACT assessment	X									UNDP	5,000
		UNDP Audit Requirement					X					UNDP	5,000
	TOTAL VANGO												
	TOTAL UNDP												
	TOTAL												
													207,554
													600,000
													807,554

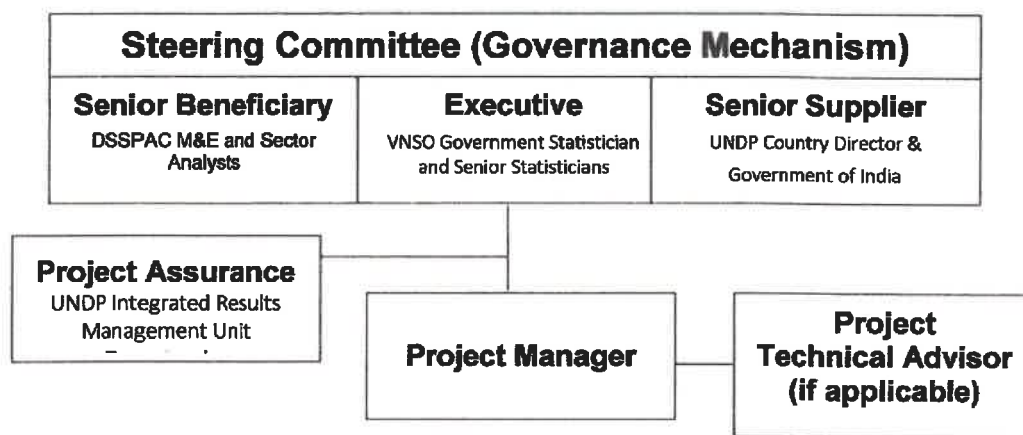
Note: VUV 30 million has already been committed by the Government of Vanuatu. The nature of a 12-month collection period requires flexibility within the budget, particularly with the volcanic situation on Ambae and ongoing adjustments to increased VAT and other IT unknowns given negotiations with data providers has not yet commenced. This budget already has had a significant amount of built-in contingency reduced to cover UNDP overhead charges, as well as the additional USD 5,000 charged to the project to cover costs associated with audits. USD Estimates based on conversions of VUV estimates using August 2018 UN quoted rate of USD 1 = VUV 107.8.

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Governance of the project is expected to be undertaken by the Survey Steering Committee which will convene at least once a quarter and more frequently if so decided by the Committee. The Survey Steering Committee is the group responsible for making by consensus, management decisions for a project when guidance is required by the Project Manager, including recommendation for approval of project plans and revisions. In order to ensure accountability, Steering Committee decisions should be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached and a majority opinion is not possible within the Steering Committee, final decision shall rest with VNSO. In addition, the Survey Steering Committee plays a critical role in UNDP-commissioned project evaluations by quality assuring the evaluation process and products, and using evaluations for performance improvement, accountability and learning. The Terms of Reference for the Survey Steering Committee are annexed. The Steering Committee structure is provided in the diagram below.

On a day-to-day basis, the Project Manager has the authority to run the project on behalf of UNDP with the constraints laid down by the Project Board and in accordance with the UNDP Programme and Operations Policies and Procedures (POPP). The Project Manager is responsible for the everyday management and decision-making of the project. The Project Manager's prime responsibility is to ensure that the project produces the results (outputs) specified in the Project Document to the required standard of quality and within the specified constraint of time and cost. UNDP appoints the Project Manager, who is different from the UNDP representative on the Project Board. Project backstopping and quality assurance will be provided by the UNDP Pacific Office in Suva.

Project Organisation Structure



IX. LEGAL CONTEXT

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 (country) and UNDP, signed on (date). All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by the Vanuatu National Statistics Office 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

Option a. Government Entity (NIM)

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
 - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.
4. 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>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

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. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
9. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
10. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

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

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

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

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

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

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

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

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

XI. ANNEXES

- 1. Project Quality Assurance Report**
- 2. Risk Log**
- 3. ToR**
- 4. Theory of Change**
- 5. SESP**

Annex 2 : Risk Log

#	Description	Type	Impact & Probability	Countermeasures / Management response
1	Political and organisational environment impacts on project implementation through events, such as political tension	Political Organisational	Probability - 2 Impact - 4	Build trust through continuous dialogue with Vanuatu Statics department, in order to retain flexibility, strong stakeholder ownership, accountability through oversight by the Project Board. Build formal and informal networks with a broad spectrum of champions across and within project stakeholders and NGOs.
2	Engagement of stakeholders	Political Organizational	Probability - 2 Impact - 4	The project envisages key activities to enhance engagement of relevant stakeholders (public, government ministries and CSOs)
4	Capacity constraints in Statics department impact on project activities	Operational Organisational	Probability - 2 Impact - 2	Careful and pragmatic prioritisation, planning and sequencing of project activities will be undertaken with the assistance of the UNDP Pacific Office in Fiji Ensure that the pace of implementation is appropriate to avoid 'project fatigue' and matches the absorption capacity. Ensure the scope of activities and terms of references are endorsed by stakeholders.
6	Change in priority areas for stakeholders resulting in lack of priority to implement project activities.	Political Organisational Strategic	Probability - 2 Impact - 2	With the Project Board ongoing review on Project Theory of Change and adjustments if feasible. Some flexibility in project design, for example in selection of target survey areas Avoid abrupt and unilateral changes adopting a more measured and inclusive response. Identify priorities through inclusive annual planning processes along with long term guide points.
7	Reduction in ownership and engagement by stakeholders and project results in delays or halt to project implementation.	Political Strategic	Probability - 2 Impact - 3	Appropriate project management arrangements established and maintained to ensure stakeholder understanding of project management tools, including annual work planning processes, corporate procurement practices and timelines. Ensure the project is fully staffed and supporting project teams provide effective and timely services. Active Project Board monitoring and oversight is taking place.
8	Natural disasters that impact directly on stakeholder priorities and ability to implement and participate in activities under the project.	Environmental	Probability - 2 Impact - 2	Ensure flexible schedule for activity implementation to minimise potential impact on outputs and ensure sequenced and timely implementation of project activities, with adjustments made where necessary.
9	Project funds not fully mobilised or expended.	Operational Financial Organizational	Probability - 3 Impact - 3	Active resource mobilisation will be undertaken as a priority. Application of monitoring and evaluation processes combined with Project Board oversight and monitoring. Prioritization of activities within the AWP.

Annex 3 : TERMS OF REFERENCE

Overall responsibilities

The Survey Steering Committee is the group responsible for making by consensus management decisions for a project when guidance is required by the Project Manager. Steering Committee decisions should be made in accordance to standards that shall ensure best value to money, fairness, integrity transparency and effective international competition⁷. In case a consensus cannot be reached and a majority opinion is unclear, final decision shall rest with the VNSO Government Statistician. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when PM tolerances (normally in terms of time and budget) have been exceeded.

Based on the approved Annual Work Plan (AWP), the Steering Committee may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities.

Composition and organization

This group contains three roles, including:

- 1) **An Executive:** individual representing the project ownership to chair the group. In this case, it will be the Government Statistician and the three Senior Statisticians at VNSO.
- 2) **Senior Supplier:** individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. In this case, it will be the UNDP Country Representative.
- 3) **Senior Beneficiary:** individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. In this case, it will be the DSPPAC M&E representative and the Director of DSPPAC.

Specific responsibilities

Initiating the Survey

- The survey planning and preparation process has already commenced. The VNSO is now conducting internal reviews of the draft questionnaire prior to sharing with all national stakeholders, aid partners and NGOs prior to the verification workshop.

Running a project

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;

- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review;
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions.

Closing a project

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement);
- Notify operational completion of the project to the Outcome Board.

Executive

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organise and chair Project Board meetings

The Executive is responsible for overall assurance of the project as described below. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure the expected output(s) and related activities of the project are well defined;
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective;
- Promote and maintain focus on the expected project output(s);
- Prioritise and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Resolve priority conflicts.

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous;

- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored;
- Where the project's size, complexity or importance warrants it, the Senior Beneficiary may delegate the responsibility and authority for some of the assurance responsibilities (see also the section below).

Senior Supplier

The Senior Supplier represents the interests of the parties which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts
- The supplier assurance role responsibilities are to:
- Advise on the selection of strategy, design and methods to carry out project activities;
- Ensure that any standards defined for the project are met and used to good effect;
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective;
- Monitor any risks in the implementation aspects of the project.

If warranted, some of this assurance responsibility may be delegated (see also the section below)

Project Assurance

Overall responsibility: Project Assurance is the responsibility of each Survey Steering Committee member, however the role can be delegated. The Project Assurance role supports the Steering Committee by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

Project Assurance has to be independent of the Project Manager; therefore the Steering Committee cannot delegate any of its assurance responsibilities to the Project Manager. A UNDP Programme Officer typically holds the Project Assurance role.

The implementation of the assurance responsibilities needs to answer the question "What is to be assured?" The following list includes the key suggested aspects that need to be checked by the Project Assurance throughout the project as part of ensuring that it remains relevant, follows the approved plans and continues to meet the planned targets with quality.

- Maintenance of thorough liaison throughout the project between the members of the Project Board;
- Beneficiary needs and expectations are being met or managed;
- Risks are being controlled;
- Adherence to the Project Justification (Business Case);
- Projects fit with the overall Country Programme;
- The right people are being involved;

- An acceptable solution is being developed;
- The project remains viable;
- The scope of the project is not “creeping upwards” unnoticed;
- Internal and external communications are working;
- Applicable UNDP rules and regulations are being observed;
- Any legislative constraints are being observed;
- Adherence to RMG monitoring and reporting requirements and standards;
- Quality management procedures are properly followed;
- Project Board’s decisions are followed and revisions are managed in line with the required procedures.

Specific responsibilities would include:

Initiating a project

- Ensure that project outputs definitions and activity definition including description and quality criteria have been properly recorded in the Atlas Project Management module to facilitate monitoring and reporting;
- Ensure that people concerned are fully informed about the project;
- Ensure that all preparatory activities, including training for project staff, logistic supports are timely carried out.

Running a project

- Ensure that funds are made available to the project;
- Ensure that risks and issues are properly managed, and that the logs in Atlas are regularly updated;
- Ensure that critical project information is monitored and updated in Atlas, using the Activity Quality log in particular;
- Ensure that Project Quarterly Progress Reports are prepared and submitted on time, and according to standards in terms of format and content quality;
- Ensure that CDRs and FACE are prepared and submitted to the Project Board and Outcome Board;
- Perform oversight activities, such as periodic monitoring visits and “spot checks”;
- Ensure that the Project Data Quality Dashboard remains “green”.

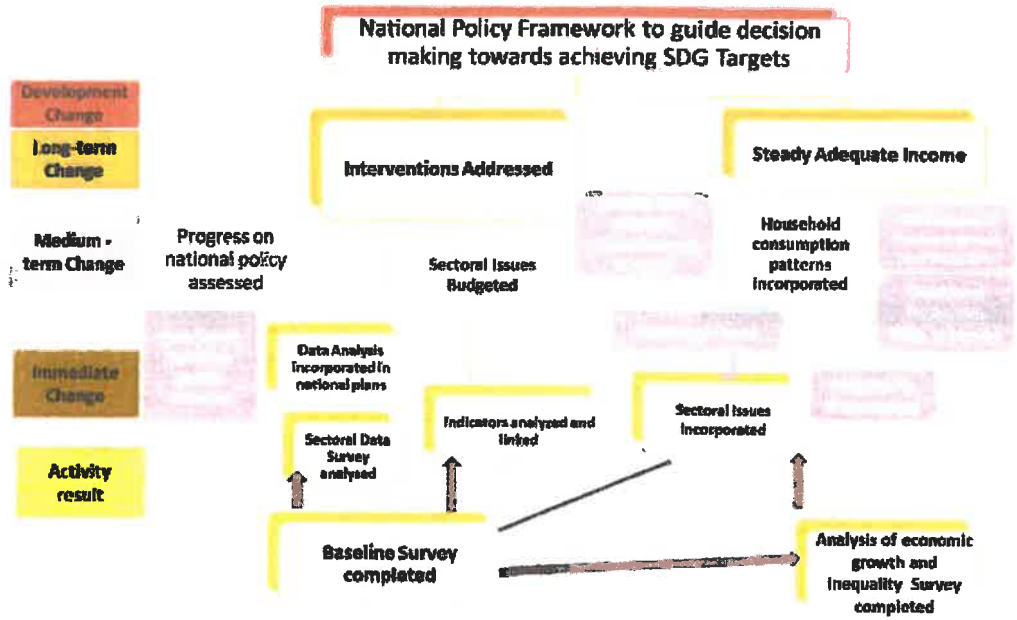
Closing a project

- Ensure that the project is operationally closed in Atlas;
- Ensure that all financial transactions are in Atlas based on final accounting of expenditures;
- Ensure that project accounts are closed and status set in Atlas accordingly.

Problem tree



Drilling down" solutions



ANNEX 5: SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE

Project Information

Project Information	
1. Project Title	Vanuatu National Sustainable Development Plan (NSDP) Baseline Survey
2. Project Number	00112496
3. Location (Global/Region/Country)	Vanuatu

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

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

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

The National Strategic Development Baseline Survey for Vanuatu Project seeks to fulfil the objectives of the Agenda 2030 including its reaffirmation of the Universal Declaration of Human Rights and its emphasis that *all States* have a responsibility to “respect, protect and promote human rights and fundamental freedoms for all”. Realising this commitment means that no-one will be left behind, and that “we will endeavour to reach the furthest behind first”.⁸ Key elements of the project therefore include supporting more inclusive planning, budgeting and monitoring processes that speak to the priorities of the most marginalised communities, population groups and individuals, and encouraging more effective, disaggregated data collection to improve visibility into local inequalities – and thereby enable more focused development interventions.

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

The National Strategic Development Baseline Survey for Vanuatu Project recognises significant variation in Vanuatu in the role women play and the approach to empowerment. In general, though, women’s empowerment is viewed as the responsibility of the wider community and men in particular, and the proposed activities therefore seek to institutionalise gender equality within SDG planning and

⁸ See clauses 4 and 19 of Resolution adopted by the General Assembly on 25 September 2015 - 70/1. *Transforming our world: the 2030 Agenda for Sustainable Development*. October 2015.

monitoring processes, by linking to and expanding upon successful UNDP SDG projects at both national and community level.

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

The problem tree analysis highlighted the lack of integration of environmental sustainability and risk into national development planning and monitoring, and the proposal therefore seeks to build on experiences by explicitly addressing social and environmental sustainability and resilience in national planning and budgeting, with a strong focus on improving collecting and interpreting relevant data.

Part B: Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any ‘Yes’ responses). If no risks have been identified in Attachment 1 then note ‘No Risks Identified’ and skip to Question 4 and Select ‘Low Risk’; Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>	
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>
<p>Risk 1: No Risks Identified</p>	<p>I = P =</p>		
<p>Risk 2: No Risks Identified</p>	<p>I = P =</p>		
<p>Risk 3: No Risks Identified</p>	<p>I =</p>		

	P =			
	I =			
	P =			
Risk 4: No Risks Identified				
QUESTION 4: What is the overall Project risk categorization?				
	Select one (see SSP for guidance)			Comments
	<i>Low Risk</i>	<input checked="" type="checkbox"/>		
	<i>Moderate 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 relevant?				
	Check all that apply			Comments
	Principle 1: Human Rights	<input type="checkbox"/>		
	Principle 2: Gender Equality and Women's Empowerment	<input type="checkbox"/>		
	1. Biodiversity Conservation and Natural Resource Management	<input type="checkbox"/>		
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>		
	3. Community Health, Safety and Working Conditions	<input type="checkbox"/>		
	4. Cultural Heritage	<input type="checkbox"/>		
	5. Displacement and Resettlement	<input type="checkbox"/>		
	6. Indigenous Peoples	<input type="checkbox"/>		
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>		

Final Sign Off (UNEP Internal)

Signature	Date	Description
QA Assessor		
QA Approver		
PAC Chair		

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/ No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁹	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect	No

⁹ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

<p>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></p>	
<p>Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below</p>	
<p>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</p>	
<p>1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i></p>	No
<p>1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</p>	No
<p>1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)</p>	No
<p>1.4 Would Project activities pose risks to endangered species?</p>	No
<p>1.5 Would the Project pose a risk of introducing invasive alien species?</p>	No
<p>1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation?</p>	No
<p>1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species?</p>	No
<p>1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i></p>	No
<p>1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)</p>	No
<p>1.10 Would the Project generate potential adverse transboundary or global environmental concerns?</p>	No
<p>1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to</i></p>	No

<i>be considered.</i>		
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ¹⁰ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations,	No

¹⁰ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

	practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ¹¹	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous	No

¹¹ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

	peoples?	
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

**PrePAC Minutes
UNDP Pacific Office in Fiji**

Minutes of the Pre-Project Appraisal Committee Meeting

Date: 5th September 2018

**Project(s) Appraised: Vanuatu National Sustainable Development Plan (NSDP)
Baseline Survey**

1. Attendance (provided comments)

PrePAC Members:

Name	Title	Organization
Patrick Tuimalealiifano	Deputy Team Leader - IG	UNDP
Winifereti Nainoca	Deputy Team Leader - RSD	UNDP
Mahezabeen Khan	M&E Analyst	UNDP
Anna Chernyshova	Programme Manager - Global Fund	UNDP
Merewalesi Laveti	M&E Analyst	UNDP
Salma Elhagyouisif	Regional Programme and SIDS Engagement Coordinator	UNDP
Garry Wiseman	IG team Consultant	UNDP

- 2. Background information on the project presented by: Patrick Tuimalealiifano, Project Document drafted by Mezi khan, PrePac inputs from PrePac members including Vanuatu counterparts incorporated.**
- 3. Quality Assurance Assessment Report by the Project's QA Assessor (areas of strengths and weaknesses), Prepared by Mezi**
- 4. Summary of PrePAC member comments**

Main points considered:

Comments Received	Changes Addressed
Gender analysis has not been undertaken, to have an action plan devised.	Gender Action plan to be devised, this needs to be discussed at LPAC
Brief description to be results language	Action has been undertaken, description is now in results-based language
A GEN 2 project rather than 1 since Output 3.1 includes gender work (even in the Output statement)	Output 3.1 referred by commenter is SRPD Output and not Project Output. As such Project Outputs still remain at GEN 1 as there is no gender analysis

	done and neither any gender activities are budgeted for.
Any information on gender, women's status, marginalized groups in the NSDP?	This has been incorporated under Development Challenge
It will be good to highlight how the availability of baseline data will be beneficial to the different areas of work of the UNDP and UN.	This has been addressed.
The section is generic - are there specific actions with regards to SSC/TrC?	Vanuatu National Statistics Office (VNSO) to confirm this.
The project outputs need to be reviewed by Government partners to ensure that this is what they are looking to achieve,	This has been reviewed and cleared.

PrePAC minutes prepared by:

John (Serona Ralaga)

PrePac minutes are approved by:

Philipine
Patrick

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

- **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?
- **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.

Justification: The project has theory of change which is linked to programmes theory of change and has assumptions and risks

**Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.*

2. Is the project aligned with the UNDP Strategic Plan?
- **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. *(all must be true)*
 - **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. *(both must be true)*
 - **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.

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, and explained on page 8 of prodoc under Relationship to UNDP Strategic Plans and UNPS

RELEVANT

4. Does the project target groups left furthest behind?
- **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.

Justification: The Target group has been Identified and evidenced in Vanuatu's National Sustainable Development Strategy (NSDP)

*Note: Management Action must be taken for a score of 1. *Projects that build institutional capacity should still identify targeted groups to justify support*

5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?
- **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.

Justification: The Vanuatu National Statistics Office (NSO) was the first NSO in the Pacific region to conduct a national census with tablet-based technology using The World Bank's Survey Solutions software in 2016. Over 300 interviewers, field supervisors, headquarter supervisors and NSO staff received training in the use of tablet technology. The lessons learned will be applied to the NSDP Baseline Survey, where Vanuatu is poised to be the first Pacific Island Country to conduct a HIES using tablet data entry over a 12-month period. This will establish the new regional standard for HIES collection as supported by the regional technical body and methods boards.

*Note: Management Action or strong management justification must be given for a score of 1

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?
- **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. *(all must be true)*
 - **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.

*Note: Management Action or strong management justification must be given for a score of 1

PRINCIPLED

7. Does the project apply a human rights-based approach?
- **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. *(all must be true)*
 - **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. *(both must be true)*
 - **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.

Justification: Please refer to full SESP

*Note: Management action or strong management justification must be given for a score of 1

8. Does the project use gender analysis in the project design?

- **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. *(all must be true)*
- **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. *(all must be true)*
- **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.

Justification: NSDP had gender analysis done as part of the framework. The survey will include questions directly linked to finding out more on women political and legal participation, which is expected to allow more targeted interventions to strengthen women's participation by addressing specific issues linked to sectoral approaches. RRF has gender indicator however budget does not have any gender activity identified.

*Note: Management Action or strong management justification must be given for a score of 1

9. Did the project support the resilience and sustainability of societies and/or ecosystems?

- **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. *(all must be true)*.
- **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. *(both must be true)*
- **1:** Sustainability and resilience dimensions and impacts were not adequately considered.

Justification: The problem tree analysis highlighted the lack of integration of environmental sustainability and risk into national development planning and monitoring, and the proposal therefore seeks to build on experiences by explicitly addressing social and environmental sustainability and resilience in national planning and budgeting, with a strong focus on improving collecting and interpreting relevant data.

*Note: Management action or strong management justification must be given for a score of 1

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.]

YES

MANAGEMENT & MONITORING

11. Does the project have a strong results framework?

- **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. *(all must be true)*
- **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. *(all must be true)*
- **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. *(if any is true)*

Refer to RRF in Prodoc

*Note: Management Action or strong management justification must be given for a score of 1

12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?

- **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. *(all must be true).*
- **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. *(all must be true)*
- **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.

Yes, refer to detailed ToR in prodoc

*Note: Management Action or strong management justification must be given for a score of 1

13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?

- **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, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. *(both must be true)*
- **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, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

Refer to Risk Log in the prodoc

*Note: Management Action must be taken for a score of 1

EFFICIENT

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.

YES, there are specific measures for ensuring cost-efficient use of resources through using a portfolio management approach. For its capacity building activities, the project will utilise in-house experts from within UNDP, RSD Team has offered to assist with their project experience in Vanuatu

(Note: Evidence of at least one measure must be provided to answer yes for this question)

15. Is the budget justified and supported with valid estimates?

- **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.

16. Is the Country Office/Regional Hub/Global Project fully recovering the costs involved with project implementation?

- **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.

Justification: M&E and HACT costs are covered by UNDP TRAC

*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.

EFFECTIVE

17. Have targeted groups been engaged in the design of the project?

- **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.

Justification: Vanuatu NSDP shows some evidence that target groups were reached however this survey itself will reach the target group

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?

YES, Project Board which includes rep from Gov, donors and UNDP is designed to review progress and challenges and make decide on corrective measures, to address the identifies challenges and risks and ensure that the strategy and the work plan continues to be aligned to the overall objectives of project

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.

Gender indicator is included in all outputs however there is no gender budget so remains as a GEN1 unless budget is allocated in the workplan

*Note: Management Action or strong management justification must be given for a score of "no"

SUSTAINABILITY & NATIONAL OWNERSHIP

20. Have national/regional/global partners led, or proactively engaged in, the design of the project?

- **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.

Proposal was submitted by implementing partner

21. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted?

- **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.
- **1:** Capacity assessments have not been carried out.

We can answer this once HACT is completed.

22. Is there 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, please refer to page 6 of prodoc

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

