

# Project Document

## [China]

**Project Name:** Poverty Alleviation and Sustainable Development Demonstration Project in Neixiang County, Henan Province

**Project Number:** Award ID 00113583/Output ID: 00111673

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

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### Brief Description

All UN member states adopted the 2030 Sustainable Development Agenda at the UN Sustainable Development Summit in September 2015, setting ambitious Sustainable Development Goals in three dimensions and seventeen areas, including health, education and environment, etc. The SDGs require all countries to equally ensure social governance, economic inclusion, and environmental protection by 2030, hoping to create a new vision for global development, which is of landmark meaning. Although China has made enormous contributions to promoting the UN SDGs, more than 30 million people still live below the poverty line set by China. Besides, environmental pollution has been exacerbated day by day in the process of rapid industrialization and urbanization, and China will face many difficulties and obstacles on the path towards achieving sustainable development.

The project will introduce advanced development concepts, enhance the understanding and capacity of leading cadres and civil servants, mobilize the private sector, social forces and other stakeholders to actively participate in local sustainable development, community governance, ecotourism, inclusive finance, an improvement of public services, especially the well-being of women, the youth and children. This project focuses on promoting international cooperation in the field of sustainable development, generating and sharing knowledge and experience, strengthening public-private partnerships, integrating relevant technologies and financial resources, advancing innovative working modality, and engaging more key stakeholders in the process of addressing environmental challenges, rural rejuvenation, public goods and education, inequality, climate change, conserving biodiversity and promoting sustainable development.

This project combines the essence of the 19th National Congress and the UN SDGs Framework. By mainstreaming the SDGs into the development strategy of the Neixiang County, it will enhance the capacity of the local government to apply the SDGs Framework to guide the planning, support the social and economic sustainable development, improve people's livelihoods in Neixiang County, promote "rejuvenation of rural areas", advance the realization of "a moderately prosperous society". The project strategies include: 1) By mainstreaming the

SDGs into the social and economic development policies and planning of the Neixiang County, it will enhance the sustainable development capacity of Neixiang County; 2) By demonstrating inclusive communities, it will strengthen the community governance capacity of Neixiang County; 3) Through sustainable and environmentally friendly approaches, it will promote industrial development and rural rejuvenation in Neixiang County; 4) Popularize the SDGs, share and disseminate Neixiang project outcomes.

### **Contribution to the Sustainable Development Goals (SDGs)**

- Goal 1:End poverty in all its forms everywhere;
- Goal 3:Good Health and Well-Being for People. Ensure healthy lives and promote well-being for all at all ages;
- Goal 4:Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.;
- Goal 5:Achieve gender equality and empower all women and girls;
- Goal 8:Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.;
- Goal 9:Industry, Innovation, and Infrastructure - Build resilient infrastructure, promote inclusive and sustainable industrialization, and foster innovation;
- Goal 10:Reduce income inequality within and among countries;
- Goal 11:Make cities and human settlements inclusive, safe, resilient, and sustainable;
- Goal 13:Climate Action--Take urgent action to combat climate change and its impacts by regulating emissions and promoting developments in renewable energy;
- Goal 15:Life on Land-- Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss.
- Goal 17:Strengthen the means of implementation and revitalize the global partnership for sustainable development.

### **Contribution to the UNDP Country Programme Document (CPD) for China 2016 - 2020**

- Outcome 1: More people, particularly the vulnerable and disadvantaged, enjoy improved living conditions and increased opportunities for economic, social and cultural development.
- Outcome 2: More people enjoy a cleaner, healthier environment as a result of improved environmental protection and sustainable green growth.
- Outcome 3: The effectiveness of China's engagement in international cooperation is enhanced for the mutual benefit of China and the world.

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| <b>Total Budget</b>  | \$4,839,602.54 |
| <b>Neixiang Principle Government Physical Matching Support</b> | \$1,951,000    |
| <b>Neixiang Principle Government Apportioned Funds</b>         | \$2,866,602.54 |
| <b>UNDP TRAC</b>   | \$ 22,000      |

Agreed by (signatures):

| <b>United Nations Development Programme<br/>China Office</b> | <b>China International Center for Economic and Technical Exchanges(CICETE)</b> | <b>Neixiang Principle Government Henan Province</b> |
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| Date: 2018-12-   | Date: 2018-12-   | Date: 2018-12-                                      |

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## TABLE OF CONTENTS

|   |    |
|---|----|
| Acronyms.....   | 6  |
| I. Project Background.....  | 7  |
| II. Project Strategy.....   | 12 |
| 2.1 Development Challenges.....   | 12 |
| 2.2 Theory of Change.....   | 15 |
| 2.3 Strategic Objectives.....   | 23 |
| 2.4 Strategic Approach and Guiding Principles.....  | 23 |
| 2.5 Implementing Modality.....  | 24 |
| 2.6 Financing Modality.....   | 24 |
| III. Project Outcome and Partnership.....   | 25 |
| 3.1 Expected Project Outcome.....   | 25 |
| 3.2 Project Outcomes and Outputs.....   | 25 |
| 3.2.1 Project Outcome: Mainstream the SDGs into the social and economic development policies and planning of the Neixiang County.....                               | 26 |
| 3.2.2 Project Outcome 2: By demonstrating inclusive communities, strengthen community governance capacity of the Neixiang County.....                               | 27 |
| 3.2.3 Project Outcome 3: Through sustainable and environmentally friendly approaches, promote industrial development and rural rejuvenation in Neixiang County..... | 27 |
| 3.2.4 Project Outcome 4: Popularize the SDGs, share and disseminate project achievements of Neixiang County.....  | 29 |
| 3.3 Resources Required to Achieve the Desired Results.....  | 30 |
| 3.4 Partnerships and Stakeholders.....  | 30 |
| 3.5 Assumptions.....  | 33 |
| 3.6 Risks.....  | 33 |
| 3.7 Assessment of Partnerships.....   | 36 |
| 3.8 Knowledge Sharing and The Best Practices.....   | 36 |
| 3.9 Sustainability and Scaling Up.....  | 36 |
| 3.10 Communications of Results.....   | 37 |
| IV. Project Management.....   | 37 |
| V. Project Outcome Framework.....   | 37 |
| VI. Monitoring and Evaluation.....  | 43 |
| 6.1 Monitoring Plans.....   | 43 |
| 6.2 Evaluation Plans.....   | 45 |
| VII. Multi-Year Work Plans.....   | 47 |
| VIII. Governance and Management Arrangements.....   | 54 |
| 8.1. Implementation Mode.....   | 54 |
| 8.2. Project Management Framework.....  | 54 |
| 8.3. Main Responsibilities of Various Stakeholders.....   | 55 |
| 8.3.1. Project Steering Committee.....  | 55 |
| 8.3.2. UNDP.....  | 55 |

|   |    |
|---|----|
| 8.3.3. CICETE.....  | 55 |
| 8.3.4. Neixiang Principle Government.....                                   | 55 |
| 8.3.5 Project Management Office .....                                       | 55 |
| 8.4. Others.....  | 56 |
| IX. Legal Context And Risk Management .....                                 | 56 |
| 9.1 Legal Environment.....  | 56 |
| 9.2 Legal Context Standard Clauses .....                                    | 56 |
| X. Risk Management Standard Clauses .....                                   | 56 |
| ANNEX 1: Project Quality Assurance Report.....                              | 59 |
| ANNEX 2: Social and Environmental Screening .....                           | 65 |
| ANNEX 3: Social and Environmental Risk Screening Checklist.....             | 68 |
| ANNEX 4: ATLAS Risk Log.....  | 71 |
| ANNEX 5: Capacity Assessments .....   | 73 |
| ANNEX 6: Responsibilities and Mechanism of Project Steering Committee ..... | 74 |
| ANNEX 7: Terms of Reference for National Project Director.....              | 76 |
| ANNEX 8: Terms of Reference for Director of Project Management Office ..... | 77 |
| ANNEX 9: Terms of Reference for Technical Advisor.....                      | 78 |
| ANNEX 10: Terms of Reference for Project Manager.....                       | 79 |
| ANNEX 11: Terms of Reference for Coordination Officer.....                  | 80 |

**Acronyms**

|                 |  |
|-----------------|--|
| UNDP            | United Nations Development Programme               |
| CCIEE           | China Center for International Economic Exchange   |
| EU              | European Union                                     |
| MDGs            | Millennium Development Goals                       |
| SDGs            | Sustainable Development Goals                      |
| Rio Declaration | The Rio Declaration on Environment and Development |
| CPDC            | Country Programme Document for China               |
| PPP             | Public Private Partnership                         |

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## I. PROJECT BACKGROUND

1. At the end of the 2015 Millennium Development Goals (MDGs)<sup>1</sup>, the United Nations (UN) issued a report entitled “Transforming our world by 2030: A new agenda for global action”<sup>2</sup>, which is a vision and plan for global development beyond 2015. From 25-27 September 2015, 193 UN member states around the world celebrated the seventieth anniversary of the founding of the United Nations in New York, and unanimously agreed that in the face of a new world order and a developmental phase, every international organization and country should further deepen sustainable development and implement the SDGs.

2. The 2030 Sustainable Development Goals (SDGs) set ambitious goals for sustainable development in three dimensions: economic<sup>3</sup>, social and environmental and seventeen aspects, to guide each region, including both the developed and the developing countries. The SDGs require all countries to equally ensure social governance, economic inclusion, and environmental protection by 2030. Based on the Millennium Development Goals proposed by the United Nations in 2000 with a focus on “poverty alleviation”, the 2030 Sustainable Development Agenda integrates the goals, actions, implementation paths and modalities, proposes comprehensive SDGs, takes measures to eliminate poverty, protects the planet, and builds a global partnership to foster a peaceful, just and inclusive society where all people can enjoy prosperity. Its 17 interrelated SDGs and 169 specific indicators cover the areas including eliminating poverty and hunger, guaranteeing

### SUSTAINABLE DEVELOPMENT GOALS



healthy life and the right to education, maintaining gender equality, promoting employment, focusing on water resources, ensuring sustainable energy for all, coping with climate changes, protecting marine resources and terrestrial ecosystems, promoting sustainable industrialization and innovation, and strengthening the global partnership for sustainable development, etc. At the same time, the New Agenda places great emphasis on the implementation roadmaps and tools, and provides tracking and monitoring

mechanisms, with an emphasis on cooperation and partnership building, and forming related financial security, calling on developed countries to fulfil their promises of developmental assistance.<sup>3</sup> On June 20, 2018, the 2018 Sustainable Development Goals Report released by the United Nations claimed that factors such as rapid climate change, regional conflicts, inequality,

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<sup>1</sup> Millennium Development Goals beyond 2015, <http://www.un.org/millenniumgoals/>.

<sup>2</sup> Transforming our world by 2030: A New Agenda for Global Action, <https://sustainabledevelopment.un.org/post2015/transformingourworld>.

<sup>3</sup> 2030 Sustainable Development Goals, <https://www.un.org/sustainabledevelopment/zh/>.

persistent poverty, and rapid urbanization have challenged the achievements of SDGs.<sup>4</sup> Among them, regional conflicts and climate change have led more and more people to suffer from hunger, a lack of basic health services and even displacement. In 2017, the world experienced the heaviest loss on record caused by North Atlantic hurricane season, and the disaster resulted in more than \$300 billion loss in global economy. Transforming into a more sustainable and resilient social development modality requires comprehensive implementation of policies. To better address the challenges and achieve the SDGs, the international community should devote more technological innovation and political commitments and invest more resources in building a powerful data and information statistics system.

4. In recent years, the concept of sustainable development has been widely spread around the world, meanwhile, the global environment and development trend have undergone profound changes. On the one hand, countries around the world have made encouraging progress in achieving the Millennium Development Goals; on the other hand, problems such as rapid population growth, far-fetching poverty issues, intensified global warming, severe regional environmental pollution, escalating conflicts between supplies and demands of strategic resources and energy, lead to difficulties in environmental protection and development. The challenges in achieving sustainable development are still daunting, mainly because: (1) Lacking legally institutional arrangements makes it difficult to guarantee the implementation of the agenda; (2) Those emerging economies have become an important phenomenon, but has not yet become substantive leadership. (3) The global governance order dominated by developed countries is clearly hard to adapt to the new requirements of global sustainable development; (4) Under the dual pressure of the weak world economic recovery and the difficulty of coordinating multiple interests, the global green growth has been slowed down. Without addressing the political commitments and the implementation gaps in funding, technology, equity and inclusiveness, the world is likely to enter a downturn of green and low-carbon development. Of course, challenges and opportunities are interdependent and interchangeable. To avoid ambiguity, the 2030 Agenda for Sustainable Development didn't explicate the green economy as important contents, it has clearly stated in its mission about the importance of achieving lasting, inclusive and sustainable economic growth. Innovative sustainable development stands at the commanding heights of green competitiveness, which is undoubtedly a basic trend in the future world economic competition.

5. China are among the first batch of countries that joined the sustainable development action, and signed the “Rio Declaration of Environment and Development” in 1992.<sup>5</sup> In 1994, China firstly released the country-level 21<sup>st</sup> Century Agenda— “China’s Agenda 21”.<sup>6</sup> In the process of deepening the reform and opening up, China has successfully implemented the UN MDGs and made tremendous development achievements in the first fifteen years of the 21<sup>st</sup> Century. After more than twenty years, China has made substantive contributions not only in the fields of

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<sup>4</sup> 2018 Sustainable Development Goals Report, <https://sustainabledevelopment.un.org/index.php?menu=3916>.

<sup>5</sup> United Nations Rio Declaration of Environment and Development, <https://research.un.org/zh/docs/environment/conferences>.

<sup>6</sup> State Council Announced China’s Agenda 21, [http://www.gov.cn/gongbao/content/2003/content\\_62606.htm](http://www.gov.cn/gongbao/content/2003/content_62606.htm).



developmental concepts, institution building, practices, exploitation and international cooperation, but also in poverty alleviation, energy saving and emission reduction, and circular economy development, and provides enlightening experience and models. China is currently building the construction of ecological civilization, which is an integration of concepts, system and action and a concrete presentation demonstrating how sustainable development corresponds with China's national situations. Green and sustainability will undoubtedly become the driving forces that lead China's development, and will profoundly affect and shape future industrial upgrading, development and structure of urbanization. Sustainable development will combine with intelligence, inclusion, globalization and other factors to reconstruct the structure of key factors, industrial division and resource allocation, creating a new sustainable development model facing the 2030.

6. In order to guide and promote the implementation of SDGs, China released the “*China's National Plan on Implementation of the 2030 Agenda for Sustainable Development.*” at the UN Headquarter on September 19, 2016.<sup>7</sup> China's National Plan reviews the achievements and experience of China in implementing the MDGs, analyzes the opportunities and challenges facing the implementation of SDGs, specifies the guiding ideology, general principles and implementing path of China's efforts, and elaborates the detailed plan about how China will implement these 17 SDGs and 169 specific indicators in the future.

7. Within its capacity, China actively involves and even leads the transformation of the global sustainable development governance. In theory, based on accelerating the construction of ecological civilization at home, China constructs the Chinese outward discourse system based on the values of ecological civilization and spreads the concepts and practices of ecological civilization to the international society. In key areas, China is committed to building “a new partnership of win-win cooperation” and “a Community of Shared Future for Mankind, making the green transformation, tackling climate change, and solving regional environmental problems as a priority for the present and the future. In terms of the system building, China aims at summarizing the domestic practical experience, exploring the establishment of global green supply chain and ecological red line system, regional division and cooperation, and ecological compensation system, risk sharing and environmental dispute resolution mechanism, and offsetting the systemic gap of global sustainable development governance system. In terms of the governance mechanism, China takes advantage of the Asian Infrastructure Investment Bank (AIIB), the New Development Bank BRICS, the South-south Cooperation Fund to improve and innovate the global sustainable development financial system and combining with the “Going Outward” and “Belt and Road Initiative”, promote the win-win cooperation of the global sustainable technology and product. .<sup>8</sup>

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<sup>7</sup> China's Action on the Implementation of the 2030 Agenda for Sustainable Development, <https://www.mfa.gov.cn/chn/pds/ziliao/tytj/zcwj/t1405173.htm>.

<sup>8</sup> One Belt One Road Initiative, <https://www.yidaiyilu.gov.cn/>.

8. Although China has made tremendous contributions in promoting the UN Millennium Development Goals, more than 30 million people still lived below the poverty line set by China. Environmental pollution has been exacerbated in the process of rapid industrialization and urbanization, and China will face many difficulties and obstacles on the path towards achieving sustainable development. (1) China's economy enters "New Normal", facing



中国14个集中连片贫困地区分布图 (2017)

multiple challenges of economic growth shift, structural adjustment, conversion of new and old growth engines; tackles pressure to maintain sustainable, stable and healthy economic growth and a great deal of work to do on poverty alleviation in the last mile; address urban and rural and regional imbalance, and the ecological and environmental gaps; (2) The biggest challenge China faces when implementing sustainable development agenda is how to alleviate poverty, improve well-fare, dissolve social conflicts, achieve common prosperity, optimize the national governance system, enhance governance and realize the coordinated development among different regions, at different levels and in different fields.

9. On January 2, 2018, the 19th CPC National Congress firstly put forward the implementation of rural rejuvenation strategy.<sup>9</sup> According to the decisive and comprehensive construction of a moderately prosperous society and the strategic plan for achieving the second Hundred Year Goal proposed by the 19th CPC National Congress, the objectives and tasks for implementing rural rejuvenation strategy are: (1) By 2020, rural rejuvenation should have achieved great progress, and an institutional framework and policy system of the strategy should have been established. (2) By 2035, China aims for decisive progress, with basic modernization of agriculture in rural areas. (3) By 2050, rural areas should have realized lucrative agricultural industry, beautiful countryside and well-off farmers.

10. "The Guiding Opinions of the Central Committee of the CPC and the State Council on Three-year Action for Fighting to Win the Tough Battle Against Poverty" was released on June 16, 2018,<sup>10</sup> and provided specific guiding opinions for improving the top-level design, strengthening policy measures, enhancing coordination and promoting more effective implementation of poverty alleviation efforts. The guiding opinions confirm specific objectives: by 2020, to enhance the poverty alleviation outcome and ensure that the rural population living below the current poverty threshold and all impoverished counties are all lifted out of poverty, and solve the problems of regional poverty by fostering distinctive industries, advancing relocation, carrying out ecological

<sup>9</sup> The CPC Central Committee and the State Council Issue Opinions on Rural Revitalization, [http://www.gov.cn/zhengce/2018-02/04/content\\_5263807.htm](http://www.gov.cn/zhengce/2018-02/04/content_5263807.htm).

<sup>10</sup> The Guiding Opinions of the Central Committee of the CPC and the State Council on Three-year Action for Fighting to Win the Tough Battle Against Poverty, [http://www.xinhuanet.com/politics/2018-08/19/c\\_1123292992.htm](http://www.xinhuanet.com/politics/2018-08/19/c_1123292992.htm).

restoration, strengthening education and improving social security, taking targeted and differentiated measures. The growth rate of per-capita disposable income in poor rural areas should be higher than the national average. The indicators of major basic public services should be close to the national average levels, which include: qualified road to villages, counties and administration villages, and all-inclusive access to electric power, the housing and drinking water security, basic clean and tidy living environment in poverty-stricken areas; effectively preventing students dropping out from compulsory education due to poverty; achieving full coverage of the basic old-age insurance, basic medical insurance, critical illness insurance and the minimum living guarantee. In addition, the development environment of contiguous poor areas, old revolutionary bases, ethnic minority and border areas will be significantly improved, and deeply impoverished areas will complete poverty alleviation tasks according to the schedule.

11. By the end of 2017, there were still 50 poor counties, 3723 poor villages, 2.214 million rural poor populations in Henan Province, including 4 extreme poor counties and 1235 extreme poor villages. These areas not only have high incidence and high degree of poverty, but also have weak infrastructure and lagged-behind economic development, which increase the difficulty of combating poverty. Among the impoverished populations who have registered, the proportion of poverty caused by disease and disability reaches 72%; people without labor capacity accounts for 47%; senior people above 65 accounts for 26%. The poverty level is increasing in the later range of the category, adding tremendous difficulty to the poverty battle.

12. To determine the 2018-2020 Poverty Alleviation timetable and roadmap, to strictly assure the responsibility of poverty alleviation, to promote the poverty alleviation work and to firmly complete the goals, the CCP Henan Provincial Committee and the People's Government of Henan Province announced the general goals for the *Henan Province Three Year Action Plan for Poverty Alleviation* on July 6, 2018: by 2020, the Province is committed to ensuring that the impoverished rural population has stable access to adequate food and clothing, compulsory education, and basic medical services and housing.<sup>11</sup> 2.21 million rural poor population who registered living below the current poverty threshold will steadily get rid of poverty; 3,723 poor villages will meet the standards of non-poverty, finally will be removed from 36 nationally listed poor counties and 14 provincially listed poor counties. It will realize the overall tasks of the "Thirteen-Five" period that 260,300 rural poor people will complete reallocation; "three mountains and one delta" region will realize healthy and orderly social development, and regional poverty issue will be solved. By 2018, 1.1 million rural poor populations from 2365 poor villages, 19 national listed poverty counties and 14 provincially listed counties will be lifted from poverty; by 2019, 750,000 rural poor populations from 1080 poor villages, 14 national listed poor counties will be lifted out from poverty, completing the relocation and resettlement for the poor and ensuring all migrant population will move to new housing; by 2020, 364, 000 rural poor populations from 278 poor villages will be lifted from poverty and the poverty alleviation outcome will be enhanced.

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<sup>11</sup> Henan Province Three Year Action Plan for Poverty Alleviation, <https://www.henan.gov.cn/2018/07-07/662924.html>.

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## II. PROJECT STRATEGY

### 2.1 Development Challenges

13. With the rapid development of China's economy, the role of county economy in sustainable development has become increasingly important. However, in the process of urbanization, the county economy is faced with numerous new problems. Compared with other regional economy, county economy has different characteristics. The main characters are: First, it is an administration-oriented regional economy centered around the county, including towns as the links and rural areas as the hinterland of regional economy. Second, it is an open regional economy. Although county economy is developed step by step on a long-term steady basis of administrative-county areas, it is not the closed "fragmented economy", but an economy of openness instead. Third, it is specialized, comprehensive and systemic regional economy with regional characteristics. In general, county economy is a comprehensive economic system with full functions, and involves full sectors like production, logistics, consumption and distribution, and first, second and tertiary industry.

14. Neixiang County is a county within the jurisdiction of Nanyang City, Henan Province, located in the southwestern part of Henan Province, on the western edge of the Nanyang Basin. The county has a total area of 2,465 square kilometers including an urban area of 20 square kilometers, and 16 townships are within its jurisdiction. There are 12 towns, 4 townships, 288 village committees, 8 neighborhood committees, and 3842 villager groups. At the end of 2016, the county's total population was 721,900, and the permanent resident population was 556,900.

15. Neixiang County is a transitional zone from the warm temperate zone to the north subtropical zone. It has a subtropical monsoon climate with obvious transitional climate characteristics. The surface water in Neixiang is relatively abundant, with an annual runoff of more than 800 million cubic meters. The distribution of runoff and the rainfall pattern are consistent, decreasing from north to south. The county belongs to the Yangtze River Hanshui River Basin, with a total of more than 40 rivers. The larger rivers include the Duan River, the Mo River, the Diao River, the Huangshui River and the Luoshi River. The mountain area in Neixiang is 1662.9 square kilometers, accounting for 72.2% of the total land area of the county. The northern mountain stands from northwest towards southeast, and the central and southern shallow mountains extend to north and south. The southern, western and central parts of the county are hilly areas, and there are low level mountains in the hilly area, covering an area of 488.7 square kilometers, accounting for 21.3% of the total land area. The inner plains of Neixiang County are mostly small basins and river plains, and the river plains and basins are staggered, with an area of 151.4 square kilometers (without water area), accounting for 6.5% of the total land area of the county. Neixiang belongs to the northern subtropical yellow brown soil zone. The area of yellow brown soil is the largest, followed by those of purple soil, fluvo-aquic soil, brown loam soil, paddy soil, and sand mites.

16. Neixiang County is rich in resources and abundant in products. There are 22 kinds of marble explored, including granite, beige jade, sepiolite, graphite, gold, silver and vanadium. Its reserves

are large, and the texture is refined which is suitable for development. There are abundant Chinese herbal medicines such as well-known Dendroba, Muscat, Gastrodia, Polygonum multiflorum, Eucommia, Magnolia liliflora, Fructus Corni, Bupleurum, etc. and other more than 400 different types; Neixiang is rich in forest resources, with a forest area of 2.153 million acres, and its forest coverage rate is 45.9%, with living tree reserves of 2.21 million cubic meters; major crops and economic materials is tobacco leaf and grain production base.

17. Neixiang is a special poverty-stricken county in Qinba area, hosting an agricultural population of 635,000, and 700,000 acres of arable land. Mountains take up 70% of the county area, water accounts 10% of the county and farmlands takes up 20%. The County is also a South-to-North Water Transfer Area and the national key ecological functional area. There were 97 poverty-stricken villages in Neixiang County, including 15,998 households with 44,142 people from 23 extremely poverty villages. As of 2017, 5,857 households with 19,796 people from 38 poverty-stricken villages have been lifted out of poverty. The annual disposable income of farmers per capita reached 1,2609.2 RMB, with an increase of 11%, which was 2.3 % higher than the provincial average level. Neixiang ranked the first among all counties in 2017 annual assessment of Nanyang County's poverty alleviation. In March 2018, Neixiang County was assessed as qualified county to “completely get rid of poverty”, ranking first among the 33 poor counties in Henan. In 2018, Neixiang County plans to withdraw 50 poverty-stricken villages and lift 19,000 people out of poverty. The poverty rate will fall below 1% at the end of the year, achieving the goal of poverty alleviation.

18. On October 31, 2014, the People's Government of Henan Province issued the “Poverty Alleviation Project Planning of the Taihang Mountain, Funiu Mountain, Dabie Mountain, Henan Province (2014-2020)”,<sup>12</sup> Neixiang County was listed as one of the 18 poverty-stricken counties in the Funiu Mountain areas. The region undertakes major tasks such as water source protection, biodiversity conservation, water conservation and soil



图1、秦巴山区集中连片特困区示意图

and water conservation in the Middle Route of the South-to-North Water Transfer Project, and its development is restricted by national policies. To realize the sustainable economic and social development of Neixiang County, county government must change the development modality to resource conservation-based approach and establish a resource-saving society. In recent years, the sustainable development of Neixiang County's economy has made great achievements. It has been awarded the “Green Industry Demonstration

<sup>12</sup> Poverty Alleviation Project Planning of the Taihang Mountain, Funiu Mountain, Dabie Mountain, Henan Province (2014-2020), <https://www.henan.gov.cn/2014/11-26/239067.html>.

Zone” awarded by the United Nations Industrial Development Organization, the “National Green Agriculture Demonstration Zone” awarded by the China Green Food Association, and the “Ecology Agriculture Demonstration Zone” awarded by the State Environmental Protection Administration. However, there are still some major challenges in promoting the sustainable development of the county economy, including: (1) Institutional and policy constraints, (2) Limited awareness and talents (3) Constraints of Economic environment.

19. The institutional and policy constraints have resulted in an unreasonable layout of the county economy. The county government has limited autonomy, methods and capacity for economy development. In particular, when China strengthens the macroeconomic control, releasing a series of policies, the county economy now faces more constraints such as financing difficulties, land supply conflicts, and narrow development space. Due to the constraints of planning methods and talent, there is a lack of rational planning for the county's economic layout. The county's economic layout is unreasonable, and the industrial layout is scattered, which will inevitably lead to dispersive, limited, and unqualified urbanization, and the difficulty in exerting the agglomeration effect, which is not conducive to the industrial upgrade. In addition, the development of the village collective economy has been highly valued by the Neixiang County, but the level of development is still low. The coverage of the actions that increase collective asset income in some poor villages is relatively small and lacks the space for development; the sustainable development of the hollowed-out villages faces challenges; community public service is relatively weak, especially in response to rural aging, which needs to be strengthened.

20. Weak human resources, and traditional and conservative development concepts. The overall level of labor, science and technology cannot meet the requirements for the development. High-tech and senior management talents and leaders are particularly scarce; township enterprises have fewer professionals. "Science and technology are the primary productive forces" is difficult to be reflected in the development of county economy. The contribution of scientific and technological foundation to economic development is low, especially the basic scientific and technological construction.

21. Constrained by the economic environment, the economic structure is single and the industrialized level is low. The industrial structure is not reasonable, and the featured economy has not yet formulated. The structural contradiction of the county economy derives not only from the disproportion among the three industries, but also from the unreasonable structure within each industry. The dualism of the agricultural economy is obvious, and traditional agriculture is overweight; the agricultural industrial chain is short, and the processing level is not high; the labor resources of agricultural production are heavily invested, while the increase of farmers' income is slow; The degree of modernization of industrial enterprises is low and the benefits of the scale of economies are not obvious; the speed of enterprise restructuring is relatively slow, the withdraw mechanism is not optimized, and the property rights system has not been fully reformed. The proportion of the tertiary industry is small. The development of featured economy is lagging behind, lacking well-structured pillar industries, leading enterprises and punching products; most

of the product structure stays in rough processing, and the competitiveness of county economy is not strong. The lack of engine for accelerating development is manifested in insufficient openness, high investment costs, and small scaled private economy.

22. The goal of targeted poverty alleviation is initially achieved, but rural low-income people still face the problem of sustainable development. As an effective measure to prevent intergenerational transmission of poverty, education equity needs to be further improved.

## 2.2 Theory of Change

23. Counties and county economies are the base and main battlefield for implementing the concept of coordinated urban and rural development. The core of urban-rural integration is to change the urban-rural dual structure and establish an equal and harmonious urban-rural relationship. To achieve urban and rural coordinated development, we must focus on the most close-knit urban-rural level - county economy. Many policy measures for urban and rural integration can be realized timely, and specifically only at the county level. In a certain sense, the process of county economic development is the practical process of gradually achieving overall planning and coordinating development in both urban and rural areas.

24. The report of the 19th CCP National Congress pointed out that to implement the rural rejuvenation strategy, it is necessary to establish and improve the development mechanism and the policy system to promote the modernization of urban and rural development in accordance with the general requirements of industrial prosperity, ecological livability, rural civilization, effective governance, and affluent life. Since 2003, the No. 1 document of the Central Committee of CCP has focused on issues of agriculture, rural areas and farmers for 15 consecutive years. The 17th National Congress and the 18th National Congress also proposed the development ideas of urban and rural coordination and urban-rural integration, playing an important role in promoting rural development and increasing farmers' income. However, to truly enrich the countryside, relying solely on the support of national policies is far from enough. Counties must generate their own blood to achieve sustainable development.

25. In 2018, the No. 1 Document of the Central Committee of CCP, Opinions of the Central Committee of the Communist Party of China and the State Council on Implementing the Strategy for Rural Revitalization,<sup>13</sup> pointed out that the issue of "agriculture, rural areas and farmers" is the top priority of the Party's work, and the priority of agriculture and rural areas development must



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<sup>13</sup> No. 1 Document of the Central Committee of CCP, Opinions of the Central Committee of the Communist Party of China and the State Council on Implementing the Strategy for Rural Revitalization, [http://www.moa.gov.cn/ztl/yhwj2018/zcid/201802/t20180227\\_6137496.htm](http://www.moa.gov.cn/ztl/yhwj2018/zcid/201802/t20180227_6137496.htm).

be adhered to the general requirements to establish the development mechanism and policy system of urban and rural integration. It should enable agriculture to become a promising industry, farmers to become attractive occupations, the countryside to become a beautiful home for living and working, and achieve the goal of lucrative agricultural industry, a beautiful countryside and well-off farmers. The county economy should consciously follow the idea of coordinating urban and rural development when formulating sustainable development plans, promulgating policy measures, and adjusting and optimizing the economic structure and economic layout.

26. On September 26, 2018, the Central Committee of the CCP and the State Council issued the "Strategic Planning for Rural Rejuvenation (2018-2022)" (hereinafter referred to as "Strategic Plan").<sup>14</sup> The "Strategic Plan" proposes that by 2020, the institutional framework and policy system for rural rejuvenation will be basically formed, and the measures for rural rejuvenation in various regions and department will be established, and the goal of building a moderately prosperous society in an all-round way will be realized as scheduled. By 2022, the institutional framework and policy system for rural rejuvenation will be preliminarily improved. By 2050, the rural areas will be fully revitalized, a lucrative agricultural industry, a beautiful countryside and well-off farmers will be fully realized. The policy objectives and the major special projects of the Strategic Plan are highly consistent with the SDGs, which provides positive policy environment and external support mechanisms for the SDGs localization in Neixiang County.

27. Adjust the county economic layout and combine the county economic development with industrialization and urbanization. Restricted by the administrative system and the geographical scope, the county economic development strategy and industrial development policy should be implemented in the specific geographical space. If the industrial layout is not compatible with the specific conditions of geographic layout, it will be difficult to achieve the expected benefits and a reasonable industrial structure. In this sense, the county economic layout is more important than the economic structure. Under the new situation, make overall plans for combining county economic development with industrialization and urbanization to adjust the county economic layout. In the process of county economic development, change the current pattern of dispersion of industrial enterprises and the scattered development of small towns. Realize the concentrated layout of county industries within certain areas, and to coordinate the concentrated development of county-level industries with urban infrastructure. Effectively use the resources of the original county to establish economic centers of the county economy and the economic centers of urbanization, and selectively incubate one or several central towns as the assembling centers for the development of non-agricultural industries in the surrounding rural areas. Through relevant policies and measures, encourage the surrounding rural non-agricultural industries to flow to the county center and central towns, so that those areas become assembling place for non-agricultural industries. This can not only create the agglomeration effect of industrial development, but also drive the flow of population to accelerate the process of urbanization; create more employment

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<sup>14</sup> On September 26, 2018, the Central Committee of the CCP and the State Council issued the "Strategic Planning for Rural Revitalization (2018-2022)", <http://politics.people.com.cn/n1/2018/0926/c1001-30315263-2.html>.



opportunities and shift rural surplus labor. In this way, a small number of county center and central towns with reasonable layouts will become industrial centers within the county and continue to develop in the direction of small and medium-sized cities.

28. Optimize the county industrial structure, cultivate and develop county-specialized industries.

Due to the small size, it is easier to integrate resource and to make the specialized industry bigger and stronger, becoming a dominant and leading industry. Therefore, county economic development should tap potential, expand space, and develop agriculture, industry and business adapting local conditions, and cultivate specialized industry having comparative advantage. Specific to the industrial field, under the new trend, the development of county industries should take the new path of industrialization, and gradually cultivate pillar industries based on the actual conditions of the county. The development of county economy, especially of the resource-development counties, must transform the mode of economic development; focus on the technological level of the development, sustainable use of the resources, and the protection of ecological environment to achieve coordinated the harmonious development between mankind and nature. The development of county industry should be based on its comparative advantages. According to the economic and social development reality, resources and energy conditions, it should apply modality based on agricultural service traction, industrial incubation, city-county radiation, tourism development, mineral resource, agricultural product processing.

29. Promote the industrialization of agriculture and accelerate the transformation of traditional agriculture to modern agriculture in the county.

In a long run, agriculture is still an important industry, source of employment and a life-improving measure for the majority farmers for Neixiang. Accelerating agricultural development is a key process of increasing farmers' income, developing county economy, and realizing the coordination between city and rural areas, and this must be based on agricultural industrialization. Under the new trend, attention should be paid on cultivating professional farmers and farmers' professional cooperatives, to promote the specialization of agricultural production, land transfer mechanism, and create conditions for professional farmers to scale up their business. The improvement of the agricultural specialization can not only promote the development of agriculture, but also promote non-agricultural employment of farmers, thus accelerating the development of county secondary and tertiary industries.

30. Accelerate the establishment of a land guarantee mechanism for “village revitalization”.

Deepening the reform of rural land system is an urgent need to promote modern agricultural construction and develop new industries and new forms of industry in rural areas. (1) Improve the “the three rights division” approach to rural land management with the goal of agricultural modernization. With the change of employment structure, income structure and even place of residence of the contractors, the “first agricultural generation” gradually quit from the agricultural industry, but the “second agricultural generation” are reluctant to be farmers. With the improving urban and rural social security system, the livelihoods security function of the contracted land was declining, and production factors were emerging. Accordingly, the collective ownership, the

farmer contracting rights and land management rights should be adjusted and improved to prevent abandoned land and the surging of land rent. (2) Improve land management policy for agricultural facilities. It should apply more flexible and easy management policies for the cold chain of agricultural products, primary processing, leisure picking, storage and other facilities, like parking, toilets, catering and other matching land. (3) Improve the layout of urban and rural construction land. It should solidly implement the existing policy of “Apply the Planned Quota for Annual Newly-increased Construction Land to Support New Industries and New Forms of Industry in Rural Areas”. It should prudently improve the correlation between the increase in urban construction land and the decrease in rural residential land and the balance between occupation and reparation of the arable land occupied for construction, leaving space for rural revitalization, but not rushing to shift rural construction land to counties nor shifting the under-developed construction land to developed areas. (4) It should explore effective ways to revitalize rural idled homestead land. For example, rural collective economic organizations can use the construction land from village integration and homestead land management to develop rural leisure tourism and old-age industries and rural integrated development of tertiary industry projects by means of shareholding and joint ventures. In another example, rural collective economic organizations can revitalize the use of idle farm houses and homesteads through renting, cooperation and so on.

31. Establish and improve institutional mechanisms that facilitate the flow of all types of funds to agriculture and rural areas. No matter it is to achieve "prosperous industry" or "eco-living", it requires a lot of capital investment. Funds for rural rejuvenation should be raised from multiple sources such as public finance, financing, and social capital. (1) Reform the fiscal investment mechanism supporting agriculture. On the one hand, it should insist agriculture and rural areas as a priority and ensure a modest increase in agriculture and rural fiscal investment; on the other hand, it must focus on innovative ways and improve the efficiency of supporting agriculture. (2) Accelerate rural financial innovation. A considerable part of rural deposits cannot be converted into investment in rural areas, but flow to cities and counties through the siphon effect, which is a realistic problem that needs to be solved urgently through the "building mechanism" and "building institutions" jointly. “Building mechanism” is to implement the incremental incentive policy for agriculture-related loans, implementing differentiated supervision and assessment methods for financial institutions that have reached a certain proportion of agriculture-related businesses, appropriately decentralizing the authority of examination and approval down to county-level branches, and solving the problem of “three rural” loans. "Building institutions" is to improve rural finance of village banks, increase service coverage, carry out internal credit cooperation of farmers' cooperatives, support existing large and medium-sized financial institutions to increase county-level outlets, and solve the problem of insufficient subjects of “three rural” loans. (3) Encourage and guide social capital to participate in rural revitalization. Encourage social capital to develop suitable modern farming and breeding, agricultural service, agricultural products processing, leisure tourism and elderly caring. It should innovate interest linkage mechanism to guide social capital to inclusively encourage farmers instead of to exclusively replace them. It is also necessary to strengthen property rights protection and stabilize investor expectations.

32. Develop inclusive finance to promote the implementation of a rural rejuvenation strategy. On December 31, 2015, the notice issued by the State Council on "Promoting Inclusive Financial Development Planning (2016-2020)" set up the development goal of Inclusive Finance: by 2020, it will establish inclusive finance service system that is compatible with the comprehensive construction of a well-being society, improving the accessibility of financial services; meeting people's growing demand for financial services, especially for small and micro enterprises, farmers, the low-income urban population, the poor, the disabled, the elderly, etc.; timely obtaining reasonable, convenient and safe financial services, and the level of inclusive financial development in China reaches at the middle and upper level internationally. (1) Improve financial service coverage. Basically, institutions and services cover every village. At the township level, full coverage of physical banking network and insurance services should be realized; the village-level coverage network for assisting agricultural withdrawal services should be consolidated, the utilization efficiency, and comprehensive coverage of basic financial service at the administrative village level should be improved. The breadth and depth of community based financial services should be expanded, and the convenience of financial services for urban enterprises and residents should significantly promoted. (2) Improve the availability of financial services. The financial support for low-income people, rural poor population, entrepreneurial farmers, entrepreneurial college students, disabled workers and other initial entrepreneurs in counties, and barrier-free financial services for special groups should be greatly improved. Financial support for new forms of industry, new models, and new entities, the loan coverage of small and micro enterprises and farmers, and credit insurance and loan guarantee insurance for small and micro enterprises should be increased. It should strive to increase the coverage of agricultural insurance farmers to more than 95%. (3) Improve the satisfaction of financial services. The efficiency of various types of financial instruments, the acquisition rate and loan satisfaction level of small and micro enterprises and farmers, the credit filing rate of small and micro enterprises and farmers should be increased, while the rate of complaints about financial services reduces significantly.

33. Rural rejuvenation requires the convergence of a wide range of financial resources and social forces, which is a rare opportunity for the financial sector, especially for the development of rural inclusive finance. The "three agricultural issues", and difficulty in borrowing SMEs loans and the problem of higher SMEs financing cost, are common challenges and obstacles faced by all countries in the world. The framework of inclusive finance has been initially formed, but it needs to integrate online and offline, take farmers' diverse needs, especially inclusive finance for women's development into account. According to the 2016 financial statistics, the proportion and the role of loans related to agriculture, including loans to farmers, loans to agriculture, forestry, animal husbandry and fishery, is disproportionate. The main financial institutions have also shown a trend of net outflow of funds in rural areas, and this phenomenon has not been fundamentally changed. Although the development of rural finance has made important progress, China's rural finance in general is still a weak part in the financial system. As the various values and functions of the countryside are re-recognized, repositioned and explored, and the rural economic industrial chain and value chain are also extended, the deep integration of the first, second and tertiary

industries in rural areas will provide a broad county space for the development of rural inclusive finance.

34. Improve rural governance, provide basic public services for rural residents in an efficient manner, maintain fairness and justice, and rural social stability. The key to revitalizing the countryside is to make good use of the factors of production, such as rural labor, land, capital. Therefore, in a foreseeable future for a considerable long term, there will be mutual flows of different factors between rural and urban counties and between different rural communities, such as rural residents entering the cities, while urban residents, capital, knowledge and skills are flowing to the countryside. At present, the most urgent task of rural community governance is to deepen the reform of rural collective property rights system, clearly define the property rights of collective assets such as land to protect the interests of current rural residents; improve the villagers' autonomy system, allowing residents who newly join rural communities to participate in decision-making, management; and protecting the rights and interests of this part of the new rural residents. The lifestyle of the rural population has both features of modern city life, and its special characteristics. To a certain extent, the farmers' lifestyle has shown simplicity, comfort, green and low carbon. Therefore, at a certain level, it is necessary to prevent the over-extrusion of the living space and lifestyle of countryside and farmers by commercial thinking and modern lifestyles, respect farmers' choice for lifestyle, and respect the agricultural and rural living space with farmers as the subject.

35. Stimulate the vitality of all kinds of market subjects, support the development of private enterprises, and accelerate the construction of a new type of political and business relations. At a macro level, it has created a good business environment for agricultural enterprises. In the process of modern agricultural development, the supply-side structural reform and the implementation of the rural rejuvenation strategy, entrepreneurs are faced with historic opportunities in the process of implementing the rural rejuvenation strategy. To implement the strategy, the entrepreneurs should play a very important role, which is clearly stated in the report of the 19th CPC National Congress: to stimulate and protect the entrepreneurial spirit and encourage more enterprises to participate in innovation and entrepreneurship, promoting entrepreneurship to an unprecedentedly high level.

36. In response to the challenges and opportunities faced by Neixiang County in promoting sustainable development, the project will enhance the mainstreaming of SDGs into the development strategy of the Neixiang County, improve the local government's capacity of using the SDGs Framework to guide resource planning, support the social and economic sustainable development and welfare security in Neixiang County, promote poverty alleviation and “rural revitalization”, advance the realization of a moderately prosperous society, and share the sustainable development model and experience of Neixiang County at the national and international levels. For this purpose, the project will introduce advanced development concepts, enhance the understanding and capacity of leading cadres and civil servants, mobilize the private sector, social forces and other stakeholders to actively participate in local sustainable development,

develop community governance, ecotourism and inclusive finance, improve public services, especially the well-being of women, the youth and children.

37. The project will review the lessons learned from the development policy process and best practices in Neixiang County, introduce advanced cases of sustainable county development, and develop policy and plan capacity building. The project will also directly provide technical support to relevant policy research, planning and piloting of Neixiang County's localization of SDGs, and accelerate the localization process of SDGs and the efficiency of implementing relevant policies. While supporting the development of relevant plans and policies, this project will also support a range of industry- and enterprise-level capacity-enhancing activities to improve industry and business capabilities in industry planning and engineering planning, especially to enhance the coordination of industry policies and planning, narrow the gap between policy, planning goals and actual implementation.

38. The project focuses on promoting international cooperation in the field of sustainable development in Neixiang County, creating and sharing knowledge and experience, strengthening public-private partnerships, integrating relevant technical and financial resources, advancing innovative working mechanisms and enabling more key stakeholders' engagement in the process of addressing environmental challenges, rural revitalization, improving public services and education, eradicating inequality, tackling climate change, conserving biodiversity and promoting sustainable and inclusive development.

39. Public support is critical to achieving project objectives and ensuring the sustainability of project outcomes. To ensure the sustainability of the project results, the project will provide direct technical support for the formulation of the public environmental awareness plan in Neixiang County. Based on the existing environmental education work in Neixiang County, the project will further improve the coverage and depth of environmental awareness promotion and improve the social public and policy makers' understanding of the importance of environmental sustainability and landscape in Neixiang County and increase women's participation in the environment and development.

40. Based on the above project intervention strategies, the project design considers the following factors: 1) Closely link the project design and implementation with the current relevant institutional arrangements and policies to maximize efficiency and to consolidate foundations of institutional arrangements and policy for promoting future project outcome; 2) In terms of selection of the pilot areas, the project will select the industry and community pilots with relatively good basic and technical capabilities in the initial stage, adopt the method of "step-by-step implementation", and gradually spread them out; 3) Due to the limited resources, during the three-year implementation period, the project will specifically support the long-term strategy of raising awareness of environmental sustainability and sustainable development among policy makers (government and enterprise level) and ordinary people; 4) The project will work with the most influential institutions related to sustainable development policies and planning in Neixiang County, and apply participatory in the project design and project implementation process.

**Output 1. Develop policy recommendations for integrating the SDGs into the 14th Five-Year Plan of Neixiang County.**

**Output 2. Prepare a roadmap for the social and economic development plans in Neixiang County based on the SDGs framework.**

**Output 3. Carry out capacity building activities to help Neixiang government officials improve their abilities to implement the SDGs framework.**

**Implementation of community development and community governance demonstration plans.**

**Output 5. Support the preparation and implementation of the educational equalization demonstration plans.**

**Output 6. Promote the establishment of the Women's Development Fund.**

**Output 7. Support the preparation and implementation of the "Rural Complex" demonstration plan for the Zhaqu Taishan Temple.**

**Output 8. Support the preparation and implementation of Deng Kiln Cultural Heritage and Wujia Stone Village Cultural Tourism demonstration plans.**

**Output 9. Support the establishment of the professional cooperative organizations and the convening of vocational skill training sessions to improve the professional skills and increase the income of local residents, especially women and the youth.**

**Output 10. Develop a case of sustainable development in Neixiang County.**

**Output 11. Effectively improve the publicity capacity of Neixiang County's sustainable development.**

**Output 12. Disseminate, share and promote the project outcomes.**

Assumptions:

- Commitment and support from government policy makers;

- Availability of the information;

- Support from the enterprises.

Driving forces

- Effective coordination with stakeholders;

- Linked to the government's political performance appraisal system;

Assumptions:

- Commitments from governments, communities, eco-parks, enterprises, professional associations and industry associations;

- Availability of the information;

- Participation of external experts.

Driving forces:

- Action-oriented and interdisciplinary research, engagement of multi-stakeholders and effective cross-sectoral coordination mechanisms;

- Practical solutions for the private sector;

- Professional knowledge;

- Targeted analysis of policy process;

- Identify leaders in the financial and planning sectors who advocate for reform and innovation.

Assumptions:

- Commitment and support from the government policy makers;

- Diversified related materials, including case studies;

- Support from government and stakeholders;

- Recognition of training and publicity materials by key stakeholders.

Driving forces:

- Effective capacity building approaches;

- Identify leaders in the financial and planning sectors who advocate for reform and innovation;

- Prioritize national, provincial and municipal policies and receive support from relevant policies.

Assumptions:

- Commitments of all relevant stakeholders, including competent authorities, participating agencies, trainers and entrepreneurs;

- Diversified related materials, including case studies;

- The support from the government and stakeholders;

- Recognition of training and publicity materials by key stakeholders.

Driving forces:

- Effective capacity building approach;

- Identify leaders in the financial and planning sectors who advocate for reform and innovation;

- Prioritize national, provincial and municipal policies and receive support from relevant policies.

**Outcome 1:** By mainstreaming the SDGs in line with the social and economic development policies and planning of the Neixiang County, it will enhance the sustainable development capacity of Neixiang County.

**Outcome 2:** By demonstrating inclusive communities, strengthen community governance capacity of Neixiang County.

**Outcome 3:** Through sustainable and environmentally friendly approaches, promote industrial development and rural revitalization in Neixiang County.

**Outcome 4:** Popularize SDGs, share and disseminate project achievements of Neixiang County;

**Comprehensive results:**

Introduce advanced development concepts, enhance the understanding and capacity of leading cadres and civil servants, encourage the private sector, social forces and other stakeholders to actively participate in local sustainable development, develop community governance, ecotourism and inclusive finance, and improve public services, especially focusing on the well-being of women, the youth and children.

**Assumptions:**

- Stakeholders agree on prioritizing the SDGs;

- Investment and payment transfer inclines to mainstreaming;

- Implement the incentive policies stably;

- Obtain technical support provided by well-known think tanks.

**Driving forces:**

- Government authorities are still actively involved in fundraising, planning and social development decisions;

- Government authorities accept evidence-based management policy recommendations such as fiscal, industrial/industry and labor policies that are conducive to economic structure green and inclusive fiscal and industrial policy, incorporating SDGs into Neixiang County development roadmap, the 14<sup>th</sup> Five-Year Plan blueprints, monitoring ecological civilization and realizing the rural revitalization strategies in line with SDGs.

Assumptions:

- Long-term political commitment to priority SDGs;

- Mainstream the principles of SDGs into financial and development planning;

- Multiple sectors and stakeholders (including the private sector) contribute to mainstreaming, and a comprehensive mainstreaming approach can be sustained;

- Financial sustainability-improve financial systems and self-financing mechanisms to promote the mainstreaming approach;

- Mainstream the investment or payments transfer.

- Implement the incentive policies stably;

- Obtain technical support provided by well-known think tanks.

**Intermediate results:**

- Strong fiscal system and policy reforms, as well as a political appraisal system;

- Introduce, test and expand the application of innovative policy tools, such as inclusive finance and green financing;

- Major shift from fiscal investment policies towards green, innovative and inclusive economies;

- Participation of a wide range of stakeholders.

**Driving forces:**

- Continuous cooperation between international organizations and the Neixiang Principle Government ;

- Participatory mechanism for multi-stakeholders;

- Knowledge and skills of policy implementation;

- Improvement of development and fundraising policies, stressing on fairness, equality and share the development results;

- Strengthened role of enterprises in achieving SDGs

Trough mainstreaming of the SDGs in the development strategy of the Neixiang County, it improves the local government's capacity of applying the SDGs Framework to guide resource planning, support the social and economic sustainable development and welfare security in Neixiang County, promote "rural revitalization", advance the realization of a moderately prosperous society, and share the sustainable development modalities and experience of Neixiang County at domestic and international levels.

## 2.3 Strategic Objectives

41. This project will enhance the mainstreaming of the SDGs into the development strategy of Neixiang County, improve the local government's capacity of applying the SDGs Framework to guide development and resource planning, support the social and economic sustainable development and welfare security in Neixiang County, promote poverty alleviation and “rural revitalization”, advance the realization of a moderately prosperous society, and share the sustainable development modalities and experience of Neixiang County at domestic and international levels.

## 2.4 Strategic Approach and Guiding Principles

42. This project will introduce advanced development concepts, enhance the understanding and capacity of leading cadres and civil servants, encourage the private sector, social forces and other stakeholders to actively participate in local sustainable development, develop community governance, ecotourism and inclusive finance. Improve public services, especially the well-being of women, the youth and children.

43. The project seeks to promote sustainable development in Neixiang County through international cooperation, create and share knowledge and experience, strengthen public-private partnerships, integrate relevant technologies and financial resources, advance innovative working mechanisms, engage a number of stakeholders in the process of addressing environmental challenges, rural revitalization, improving public services and education, eradicating inequality, tackling climate change, conserving biodiversity and promoting sustainable development.

44. This project contributes directly to the following 10 UN SDGs:<sup>15</sup> 1) Goal 1, End poverty in all its forms everywhere; 2) Goal 3, Ensure healthy lives and promote well-being for all at all ages; 3) Goal 4, Ensure inclusive and equitable quality education and promote life-long learning opportunities for all; 4) Goal 5, Achieve gender equality and empower all women and girls; 5) Goal 8, Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all; 6) Goal 9, Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation; 7) Goal 10, Reduce inequality within and among countries; 8) Goal 11, Make cities and human settlements inclusive, safe, resilient and sustainable; 9) Goal 13, Take urgent action to combat climate change and its impacts; 9) Goal 15, Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss; 19) Goal 17, Strengthen Means of Implementation and revitalize the global partnership for sustainable development.

45. This project is in line with the United Nations Development Assistance Framework(UNDAF) from 2016 to 2020 for the People’s Republic of China:<sup>16</sup> Outcome 1: More people, particularly the vulnerable and disadvantaged, enjoy improved living conditions and increased opportunities for economic, social and cultural development; Outcome 2: More people enjoy a cleaner, healthier, and safer environment as a result of improved environmental protection and sustainable green growth; Outcome 3: The effectiveness of China’s engagement in international cooperation is enhanced for the mutual benefit of China and the world, and the UNDP Country Programme Document(CPD) for China 2016 – 2020<sup>17</sup>:

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<sup>15</sup> United Nations Sustainable Development Goals, <http://www.undp.org/content/undp/en/home/sustainable-development-goals.html>.

<sup>16</sup> United Nations Development Assistance Framework China 2016-2020, <http://cn.un.org.cn/info/Publications.html>.

<sup>17</sup> UNDP Country Programme Document for China 2016 – 2020, <http://cn.un.org.cn/uploads/20180403/a10b58eabf2f573e7998e8791ff1eb21.pdf>.

Outcome 1. More people, particularly the vulnerable and disadvantaged, enjoy improved living conditions and increased opportunities for economic, social and cultural development; Outcome 2. More people enjoy a cleaner, healthier environment as a result of improved environmental protection and sustainable green growth; Outcome 3. The effectiveness of China's engagement in international cooperation is enhanced for the mutual benefit of China and the world.

## **2.5 Implementing Modality**

46. The implementation of the project will be based on the participation of multiple partners and multi-stakeholders and will be coordinated closely with other development projects such as agriculture, community development, education, cultural tourism, land remediation, environmental governance, climate change funded by governments and other funders through collaboration and experience sharing in the implementation phase. Through this collaborative way, the project strengthens the effectiveness and impact of project implementation in policy and technology promotion.

47. The project will have a Project Steering Committee with the participation of key stakeholders as the highest decision-making body for the project. Its members include the UNDP<sup>18</sup>, the China International Center for Economic and Technical Exchange<sup>19</sup>, the leaders of the Neixiang County Principle Government and representatives from the relevant leading local organizations. In alignment with the Project Document and relevant documents, the Steering Committee will promote policy coordination, cross-sectoral consultations and experience sharing among relevant departments through regular meetings, summaries of project progress and approval of work plans.

48. The project will involve sharing of experiences with similar projects implemented by international agencies, in particular with similar projects implemented by the United Nations Development Programme in China, and to share and promote the project outcomes and experience under the framework of South-South Cooperation. This will help to ensure the sustainability of the results and experience of these projects.

## **2.6 Financing Modality**

49. The project is designed with an amount of USD \$4,839,602.54, of which the Neixiang Principle Government providing with a total amount of USD \$2,886,602.54, for a period of three years (2019-2021) in the form of cost sharing, and parallel funding of USD \$1,951,000 in kind to support the implementation of policies and regulation. Meanwhile, UNDP will provide USD \$ 22,000 from TRAC fund for project implementation and management support. The project budgets and budget allocation are described in detail in Chapter VII.

50. During the implementation of the project, technical cooperation will be carried out with projects supported by local government special financial funds and implemented in Neixiang County, to jointly promote technical and policy objectives in the cross-over and overlapping areas, such as inclusive finance, agricultural cooperation development, soil and water conservation<sup>20</sup>, wetland protection, land and resources improvement, ecotourism, education and livelihoods projects. Project funds supported by the relevant government financial special funds will be regarded as in kind support of the government. Under the premise of unchanging the usage of funds and unchanging the implementation system, it will

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<sup>18</sup> UNDP, <http://www.cn.undp.org>.

<sup>19</sup> CICETE, <http://cicete.mofcom.gov.cn>.

<sup>20</sup> Water Conservation Project, <http://www.forestry.gov.cn>.



be included in the annual work plan of the project and implemented centrally.

51. During the implementation of the project, it will be open to collaboration with stakeholders, including the private sector, charitable foundations and other civil society groups. According to the prioritized areas of the different parties, newly identified opportunities, and the needs of sustainable development in Neixiang County, corresponding project activities will be designed to enrich project achievements and expand the project's influence and sustainability of its results. New partners participating in the project and new project activities will be created and approved in accordance with the requirements of the project management of UNDP and CICETE.

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### III. PROJECT OUTCOME AND PARTNERSHIP

#### 3.1 Expected Project Outcome

52. At the end of the project implementation, this project is expected to achieve the following outcomes;

- Outcome 1: By mainstreaming the SDGs into the social and economic development policies and planning of the Neixiang County, it will enhance the sustainable development capacity of Neixiang County;
- Outcome 2: By demonstrating inclusive communities, strengthen community governance capacity of the Neixiang County;
- Outcome 3: Through sustainable and environmental friendly approaches, promote industrial development and rural rejuvenation in Neixiang County;
- Outcome 4: Popularizing the SDGs, share and disseminate project achievements of Neixiang County.

#### 3.2 Project Outcomes and Outputs

53. This project will realize the expected outcomes by achieving the following listed outputs:

**Outcome 1: By mainstreaming the SDGs in line with the social and economic development policies and planning of the Neixiang, it will enhance the sustainable development capacity of Neixiang**

Output 1. Develop policy recommendations for integrating the SDGs into the 14th Five-Year Plan of the Neixiang

Output 2. Develop a roadmap for social and economic development plans based on the SDGs Framework

Output 3. Carry out capacity building activities to help Neixiang government officials improve their abilities to implement the SDGs Framework

**Outcome 2: By demonstrating inclusive communities, strengthen community governance capacity of the Neixiang**

Output 4. Support the formulation and implementation of community development and governance demonstration

Output 5. Support the formulation and implementation of the educational equalization demonstration plans

Output 6. Promote the establishment of the Women's Development Fund

**Outcome 3: Through sustainable and environmental friendly approaches, promote industrial development and rural revitalization in Neixiang**

Output 7. Support the formulation and implementation of the "Rural Complex" demonstration in Zhaqu Taishan Temple

Output 8. Support the formulation and implementation of Deng Kiln Cultural Heritage and Wujia Stone Village Cultural Tourism demonstration

Output 9. Support the establishment of the professional cooperative organizations and the convening of vocational skill training sessions to improve the professional skills and increase incomes for especially women and the youth

**Outcome 4: Popularize the SDGs, share and disseminate project achievements of Neixiang County**

Output 10. Develop a case of sustainable development in Neixiang County

Output 11. Effectively improve the publicity capacity of Neixiang to disseminate SDGs

Output 12. Disseminate, share and promote the project outcomes

54. Apart from the above-mentioned outcomes, this project also includes non-technical outcome content, such as project management, monitoring and evaluation.

### **3.2.1 Project Outcome: Mainstream the SDGs into the social and economic development policies and planning of the Neixiang County**

55. The main purpose of the outcome is to strengthen the policy planning capacity of Neixiang Principle Government and its major institutions in line with the guidance of SDGs Framework, and promote the mainstreaming of SDGs into social and economic development planning. The key indicators of the outcome include: 1) When adjust and implement relevant policies and plans, related institutions should incorporate SDGs and best practices into the policy and planning process; 2) Develop economic, monitoring and incentive measures to mainstream SDGs into policies making and development plans; 3) Enhance the capacity of government officials to apply SDGs Framework and executive socio-economic development planning.

#### **56. Output 1. Develop policy recommendations for integrating the SDGs into the 14th Five-Year Plan of the Neixiang County**

57. The main activities supported by this outcome will provide technical support to the following fields (project activities): 1) Apply SDGs Framework to evaluate the Neixiang County's 13th Five-Year Plan, and develop policy recommendations to incorporate the SDGs into Neixiang County's 14th Five-Year Plan; 2) Conduct a survey of the social, economic and environmental baselines of Neixiang County, as well as the development and future development trends of the secondary industry; 3) Develop SDG indicators monitoring methods for Neixiang and annual monitoring. 4) Provide capacity building training sessions for government officials in Neixiang County, including trainings on SDGs, development planning, public services, social governance and inclusive finance.

#### **58. Output 2. Prepare a roadmap for social and economic development plans for Neixiang County based on the SDGs Framework**

59. The main activities supported by this outcome will provide technical support to the following fields (project activities): 1) Investigate and understand the policy status and data quality of the local key industries; 2) Formulate development guidelines based on the SDGs framework and the assessment of the implementation of Neixiang County's 13th Five-Year Plan; organize meetings and seminars of relevant industries and compile a social, economic and environmental development planning roadmap for Neixiang County; 3) Conduct a report on inclusive development and inclusive finance development in Neixiang County and formulate incentive policies and measures; 4) Select key industries as sustainable development planning pilot according to the social, economic and environmental development planning roadmap.

#### **60. Output 3. Carry out capacity building activities to help Neixiang government officials improve their abilities to implement the SDGs Framework**

61. The main activities supported by this outcome will provide technical support to the following fields (project activities): 1) Carry out needs assessment for capacity building activities and adopt a systematic approach to assess the status and development needs of relevant government departments when implementing the SDGs, especially for those departments with planning functions in the Neixiang Principle Government; 2) Conduct case studies of domestic best practices for sustainable development; 3) Conduct case studies of best practices for sustainable development out of regions or countries; 4) Develop methodologies for monitoring SDGs indicators and monitor the implementation of SDGs in

Neixiang County; 5) Develop SDGs capacity building training courseware and thematic courses on local sustainable development; 5) Study tour for learning on best practices of sustainable development in similar administrative regions abroad.

### **3.2.2 Project Outcome 2: By demonstrating inclusive communities, strengthen community governance capacity of the Neixiang County**

62. The main purpose of the outcome is to provide technical support for demonstrating inclusive community development models and strengthening community governance capacities from the perspective of policy, planning and best practices. The main indicators of the outcome include: 1) Formulate and pilot inclusive community development case; and 2) Increase collective assets and the income by supporting the development and implementation of a village's collective economic development demonstration and the rational use of demonstration village resources, in particular, the rational use of homesteads; 3) Summarize and refine the experience of the two demonstration communities to provide technical support for wider application.

#### **63. Output 4. Support the preparation and implementation of community development and community governance demonstration plans**

64. The main activities supported by this outcome will provide technical support to the following fields (project activities): 1) conduct baseline surveys in demonstration areas, including farmer upgrade surveys; community service status surveys; community service needs surveys; 2) Increase collective assets and increase income of collective asset by supporting the preparation and implementation of village collective economic development demonstration plan, through the rational use of demonstration village resources, in particular, the rational use of homesteads; 3) Improve community service functions, achieve a dynamic integration of rural pension, rural minimum living standard security system and dynamic integration services to demonstrate ageing services at the village level.

#### **65. Output 5. Support the preparation and implementation of the educational equalization demonstration plans**

66. Through appropriate concentration of rural schools, providing school transportation accordingly, enable rural left-behind children to receive a fair education and prevent intergenerational transmission of poverty. The main activities supported by this outcome will provide technical support to the following fields (project activities): 1) Plan demonstration of primary schools based on local geographical conditions and population distribution; 2) Provide public services such as school bus to facilitate rural left-behind children to enter school; 3) Improve the quality of rural school teachers and incentivize more teachers working in rural areas by providing comprehensive training in distance education and teacher rotation.

#### **67. Output 6. Promote the establishment of the Women's Development Fund**

68. Promote the establishment of the Women's Development Fund to stimulate the online and offline cooperation of inclusive finance, also promote women employment diversity. This output supported by this output is to provide technical support in the following areas (project activities): 1) Establish a Women's Development Fund to provide women with small loans to support their entrepreneurial activities; 2) Establish women's centers and women's groups in model villages to promote women empowerment.

### **3.2.3 Project Outcome 3: Through sustainable and environmentally friendly approaches, promote**

## **industrial development and rural rejuvenation in Neixiang County**

69. The main objective of the outcome is to provide best practices for Neixiang County to achieve sustainable development by supporting the development and implementation of “Rural complex”, cultural tourism demonstration programs and supporting the professional cooperative development and vocational skills training. The main indicators of the outcome include: 1) One “Rural Complex” demonstration plan; 2) Two cultural tourism demonstration plans; 3) Professional skills training; 4) “Rural Complex”, cultural tourism sustainable industry model is piloted.

### **70. Output 7. Support the preparation and implementation of the “Rural Complex” demonstration plan for the Zhaqu Taishan Temple**

71. The main activities supported by this outcome will provide technical support to the following fields (project activities): 1) Conduct the top-level design: determine the boundaries of the townships, administrative villages, and watershed, and meanwhile consider the integrity of administrative units and watershed ecosystems to demarcate the demonstration area and carry out village environmental planning, industrial planning, and tourism planning in the demonstrative area. Tailor their respective areas, styles, locations, functions, etc. according to their regional functions to form the overall “Rural Complex” demonstration plan; 2) Determine the organizational structure: conduct research and decide the organizational operation model of the demonstration area, such as the operation model of “Company + Village + Family Farm”; 3) Conduct research and formulate a reasonable benefit distribution modality: establish a completed set of benefit distribution modalities, such as a cooperative dividend modality to benefit village collectives, tourism companies, family farmers and villagers and to mobilize the initiatives of all parties. 4) Determine the market business entities, focusing on the management, marketing, and publicity of the demonstration area.

72. Through market-oriented mechanism, the farm can develop different and adaptable types of rural tourism products at different levels and different scales, and the farm can organically combine various leisure projects into tourist routes. When it comes to specific development, we can focus on developing one or several functions to form some featured tourism projects according to the specific conditions of the farms, which will drive the development of the whole region.

### **73. Output 8. Support the preparation and implementation of Deng Kiln Cultural Heritage and Wujia Stone Village Cultural Tourism demonstration plans**

74. The main action supported by this output is to provide technical support in the following areas (project activities): 1) Support the formulation and implementation of the Cultural Tourism Demonstration Plan for Deng Kiln Cultural Heritage; 2) and Wujia Stone Village Cultural Tourism Demonstration Plan. Specific activities include:

75. (1) Check the available resources in the village. There are many homesteads, collective construction land, idle land, mountain forests and other resources in the village. Through land conversion, land resources can be transformed into capital, attracting more external industrial and commercial funds to enter the countryside.

76. (2) Strategize village planning. Transforming “the beautiful villages” into a sustained economy needs to fully activate the use of resources, such as old houses, rivers courses, fruit forests and vegetable gardens. It is necessary to sort out the original veins of the village, plan new industries, introduce new ideas, attract more young people to return to the village and combine the planning and operation of the villages to create “a beautiful economy in beautiful villages”. It is essential to innovate industrial

planning and design, create a more reasonable rural spatial pattern, industrial structure, production methods, and lifestyles, promote the harmonious coexistence of rural people and nature, and make more people love the countryside.

77. (3) Innovate industrial integration. The construction and development of beautiful villages cannot be separated from the support of the industry development, and it must pay attention to the integration and development of the primary, secondary and tertiary industries. Turning villages into tourist attractions will greatly increase the revenues of the land. Isolated processing production will not increase the added value of the product. Making the production procedure more interesting and the processing production more interactive will increase the product value. It may also promote the sale of local products, expand the popularity and bring complementary returns.

78. (4) Formulate the organizational structure: conduct research and formulate the organizational operation model of the demonstration area, such as the model of “Company + Village + Family Farm”;

79. (5) Conduct research and formulate a reasonable benefit distribution modality: establish a complete set of benefit distribution modalities, such as a cooperative dividend mechanism, to benefit village collectives, tourism companies, family farmers and villagers and mobilize the initiatives of all parties.

80. (6) Determine the market business entities, focus on the management, marketing, and publicity of the demonstration area.

**81. Output 9. Support the establishment of the professional cooperative organizations and the convening of vocational skill training sessions to improve the professional skills and increase the income, especially for women and the youth**

82. The main action supported by this output is to provide technical support in the following areas (project activities): 1) Conduct financial literacy activities and design financial education programs (both online and offline) for women, young entrepreneurs, and grassroots cadres; 2) Conduct vocational skill training sessions, including tourism service training courses, prioritizing the demands of women and the youth; 3) Support professional cooperative organizations, extending the relevant industrial chain of pilot villages (such as organic agriculture) and increasing employment opportunities for farmers.

#### **3.2.4 Project Outcome 4: Popularize the SDGs, share and disseminate project achievements of Neixiang County**

83. This is to enhance the public understanding of the project, support from the government and the public for policies and interventions, for achieving the objectives of the project. Disseminate, share and promote the project experience and results at the national and international levels. Based on making full use of traditional media, it also can use internet technologies and other tools to strengthen the promotion and dissemination of project policies. All these measures will further enhance the publicity capacity of Neixiang to promote the coordinated development of economy, society, and environment, and play a crucial role in creating a win-win situation between natural conservation and social development.

84. The main evaluation indicators for this outcome include: 1) Raise environmental and sustainable development awareness among policymakers and the public at both governmental and corporate levels; 2) Develop a strategy for enhancing sustainability awareness; and 3) Disseminate, share and promote the project experience at the country and international level.

**85. Output 10. Develop a case of sustainable development in Neixiang County**

86. The main action supported by this output is to provide technical support in the following areas (project activities): 1) Refine the experience of the Neixiang Government in improving public infrastructure, poverty alleviation and strengthening sustainable livelihoods, and produce cases studies respectively; 2) Conduct development impact assessment of policy and complete the implementation of the SDGs: China's Experience - Neixiang Project, and its knowledge products; 3) Develop videos and other case materials, disseminate project results through the international network of UNDP.

**87. Output 11. Effectively improve the publicity capacity of the Neixiang County's sustainable development**

88. The main action supported by this output is to provide technical support in the following areas (project activities): 1) Support the development and implementation of a comprehensive publicity and education plan for the three-year SDGs of the Neixiang County; 2) Provide training and publicity materials for different audiences; 3) Support the demonstration sites such as the “Taishan Temple Rural Complex” functioning as publicity centers; focus on the education and awareness raising activities of the SDGs and improve the publicity planning and activities; 4) Incorporate the core information of the SDGs Framework into cultural and sports activities in Neixiang County, such as enterprise employee training sessions, cultural activities, mass sports games, knowledge contests and technical competitions.

**89. Output 12. Disseminate, share and promote the project results**

90. The main action supported by this output is to provide technical support in the following areas (project activities): 1) Create and regularly hold the “County Economy Sustainable Development Experience Exchange and Sharing Mechanism Based on the UN SDGs Framework”; 2) Share the experience of localization of SDGs framework in Neixiang at both national and international levels.

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

91. All major project partners, including UNDP, CICETE, Neixiang Principle Government will assign staff to participate in project implementation and management, monitoring and evaluation and financial management. The government leaders and leading departments of the Neixiang Government will participate in the Project Steering Committee, including participation in annual Project Steering Committee meetings, consultation meetings and technical seminars, and provide policy and technical guidance.

92. Project implementation management will be charged by the “Project Management Office”, which will be responsible for the daily management. The Project Management Office works under the leadership of the National Project Director. The “National Project Director” is a county leader appointed by the Neixiang Government.

93. To ensure technical guidance in the implementation of the project and the technical direction of the project, the project will hire a technical consultant.

### **3.4 Partnerships and Stakeholders**

94. The project will involve close collaboration with multiple stakeholders, including local government departments, academic and research institutions (including universities and research institutes), non-governmental organizations, the private sector, communities and the public. The project may also explore international linkages and lessons learned to best deliver its expected results. The project design will also reflect relevant UNDP gender equality policies. In the project design phase, stakeholder relationships have been discussed and analyzed in depth, and meetings have been held with stakeholders and extensive

consultations have been conducted. Identified key stakeholders will be involved in the project preparation and implementation. Mechanisms supporting stakeholder engagement are included in the project design.

95.CICETE will be responsible for the coordination and management of the project as the executing agency of the project and will coordinate and organize the work of the Project Steering Committee.

96.Major stakeholders include the following departments or groups: Neixiang County Finance Office, Neixiang County Development and Reform Commission, Neixiang County Agriculture and Rural Affairs Bureau (Agriculture Committee), Neixiang County Fiscal Bureau, People's Bank of China Neixiang County Central Branch, Neixiang County Agricultural Commercial Bank, Neixiang County Poverty Alleviation Office, Neixiang County Education Bureau, Neixiang County Health Bureau, Neixiang County Industry and Information Commission, Neixiang County Nature Resource Administration, Neixiang County Water Affairs Bureau, Neixiang County Ecological and Environmental Protection Bureau, Neixiang County Forestry and Grassland Administration, Neixiang County Tourism Development Committee, Neixiang County Women and Children Federation, townships and villages participating in demonstration projects, and local private sectors, communities and non-governmental organizations.

**Stakeholders and Responsibilities.**

| <b>Stakeholders</b>                                   | <b>Responsibility related with implementation</b>   |
|---|---|
| Neixiang County Finance Office                        | <ul style="list-style-type: none"> <li>- Provide lessons of other international and domestic projects (completed and ongoing projects);</li> <li>- Introduce project lessons to other international and domestic projects;</li> <li>- Support the implementation of recommendations and strategies proposed in government-invested projects;</li> <li>- Draft and promote regulatory policies and plans related to project objectives.</li> </ul> |
| Neixiang County Development and Reform Commission     | <ul style="list-style-type: none"> <li>- Provide lessons of other international and domestic projects (completed and ongoing projects);</li> <li>- Introduce project lessons to other international and domestic projects;</li> <li>- Support the implementation of recommendations and strategies proposed in government-invested projects;</li> <li>- Draft and promote regulatory policies and plans related to project objectives.</li> </ul> |
| Neixiang County Industry and Information Commission   | <ul style="list-style-type: none"> <li>- Mainstream the project results into land use planning;</li> <li>- Introduce project lessons to other international and domestic projects;</li> <li>- Support the implementation of recommendations and strategies proposed in government-invested projects;</li> </ul>   |
| People's Bank of China Neixiang County Central Branch | <ul style="list-style-type: none"> <li>-Mainstream project results into credit policies;</li> <li>-Introduce project lessons to other international and domestic projects;</li> <li>-Provide policy and technical support for implementing green finance and carbon finance.</li> </ul>   |
| Neixiang County Rural Commercial Bank                 | <ul style="list-style-type: none"> <li>- Provide lessons of other international and domestic projects (completed and ongoing projects);</li> </ul>  |

| Stakeholders  | Responsibility related with implementation  |
|---|---|
|   | <ul style="list-style-type: none"> <li>- Introduce project lessons to other international and domestic projects;</li> <li>- Support the implementation of recommendations and strategies proposed in government-invested projects.</li> </ul>   |
| Neixiang County Poverty Alleviation Office  | <ul style="list-style-type: none"> <li>- Provide lessons of other international and domestic projects (completed and ongoing projects);</li> <li>- Introduce project lessons to other international and domestic projects;</li> <li>- Support the implementation of recommendations and strategies proposed in government-invested projects.</li> </ul>   |
| Neixiang County Natural Resources Administration  | <ul style="list-style-type: none"> <li>- Plan land use;</li> <li>- Mainstream project results into land use planning;</li> <li>- Provide policy recommendations for unified planning and implement;</li> <li>- Introduce project lessons to other international and domestic projects;</li> <li>- Support the implementation of recommendations and strategies raised in this project into government-invested projects.</li> </ul>   |
| Neixiang County Ecological and Environmental Protection Bureau  | <ul style="list-style-type: none"> <li>- Integrate project results into county biodiversity conservation strategies and action plans;</li> <li>- Draft and promote regulatory policies and plans related to project objectives;</li> <li>- Provide lessons learned from the projects implementation from the department and daily work;</li> <li>- Introduce project lessons to other international and domestic projects;</li> <li>- Support the implementation of recommendations and strategies presented raised in this project into government-invested projects.</li> </ul> |
| Neixiang County Forestry and Grassland Administration (National Park Administration, Wetland Administration). | <ul style="list-style-type: none"> <li>- Coordinate among relevant departments to implement the project promotion strategy;</li> <li>- Support the implementation of recommendations and strategies raised in this project into government-invested projects.</li> </ul>  |
| Neixiang County Tourism Development Committee   | <ul style="list-style-type: none"> <li>- Lead the formulation of an ecotourism pilot plan;</li> <li>- Draft and promote regulatory policies and plans related to project objectives</li> </ul>  |
| Neixiang County Agricultural and Rural Affairs Bureau (Committee)   | <ul style="list-style-type: none"> <li>- Provide policy and technical support to the project;</li> <li>- Introduce project experience to other international and domestic projects;</li> <li>- Support recommendations and strategies in the implementation of this project and other government-invested projects.</li> </ul>  |
| Neixiang County Water Resources Bureau  | <ul style="list-style-type: none"> <li>- Provide lessons of other international and domestic projects (completed and ongoing projects);</li> <li>- Introduce project lessons to other international and domestic projects;</li> <li>- Support the implementation of recommendations and strategies proposed in government-invested projects;</li> </ul>   |
| Neixiang County Education Bureau  | <ul style="list-style-type: none"> <li>- Provide policy and technical support to the project;</li> <li>- Introduce project experience to other international and domestic projects;</li> <li>- Support recommendations and strategies in the implementation of this</li> </ul>  |



| Stakeholders                                  | Responsibility related with implementation   |
|---|--|
|   | project and other government-invested projects.  |
| Neixiang County Health Bureau                 | <ul style="list-style-type: none"> <li>- Provide policy and technical support to the project;</li> <li>- Introduce project experience to other international and domestic projects;</li> <li>- Support recommendations and strategies in the implementation of this project and other government-invested projects.</li> </ul>   |
| Neixiang County Women and Children Federation | <ul style="list-style-type: none"> <li>- Provide policy and technical support to the project;</li> <li>- Support the establishment and operation of the Women’s Development Fund;</li> <li>- Introduce project experience to other international and domestic projects;</li> <li>- Support recommendations and strategies in the implementation of this project and other government-invested projects.</li> </ul> |
| Project demonstration township                | Participate in the implementation of project activities.   |
| Nature reserve management agency              | - Senior management and technical staff of the nature reserve will be involved in relevant planning and capacity enhancement activities.   |
| Community and aborigines                      | Participate in the implementation of project activities.   |
| Academies and scientific institutions         | <ul style="list-style-type: none"> <li>-Provide technical support;</li> <li>- May become a service contractor.</li> </ul>  |
| Media   | <ul style="list-style-type: none"> <li>- Disseminate project results;</li> <li>- Promote environment of the public and sustainability awareness.</li> </ul>  |

### 3.5 Assumptions

97.The key assumptions of the theory of change include: 1) The Chinese governments, including the Neixiang Government, have a long-term political commitment to prioritizing the SDGs; 2) Smoothly mainstream the SDGs into finance and development planning. 3) Multiple sectors and stakeholders (including the private sector) will contribute to the mainstreaming of the SDGs in finance and development planning, and the comprehensive mainstreaming approach introduced will be sustained; 4) Financial sustainability - improve fiscal system and self-financing mechanism to promote the mainstreaming method; 5) Tilt investment and transfer payment towards the mainstreaming of sustainable development. 6) Steadily implement incentive policies.7) Sustained technical support provided by renowned think tanks.

### 3.6 Risks

98.Based on analysis, there are also some risks associated with successfully achieving the strategic objectives and the expected results. According to the theory of change and the experience from similar projects, identification and analysis shows the project will mainly face the following risks:

## Project Risk and Mitigation Measures

| Risks   | level               | Mitigation measure  |
|---|---------------------|---|
| <p>Inadequate coordination among agencies. The lack of coordination mechanisms in the participating departments limits the effectiveness of human and financial resources and reduces the efficiency of the policy procedure and the impacts of project outcomes.</p> | <p>Intermediate</p> | <p>The project will set up a Project Management Office in the county finance office. Neixiang Government will appoint a county leader to present in the Project Steering Committee. The members of the Steering Committee are composed of representatives of relevant business departments, UNDP and CICETE. The committee is responsible for monitoring the progress, reviewing the annual work plan, and quality assurance. Once the annual work plan is formally approved, the Project Management Office will be responsible for ensuring coordination and cooperation among all units. The finance Office is responsible for ensuring the smooth implementation and timely discovering and handling problems affecting implementation. In the long run, the strategy, institutional structure and public awareness campaigns adopted will promote the sustainability of the project.</p>  |
| <p>The process of policy formulation and adoption is relatively slow. The process of adopting project-related policy recommendations is slow. Due to the poor economic development planning, the efficiency of policies and planning may also be reduced.</p>         | <p>Intermediate</p> | <p>This risk has been resolved in the project design stage. Specifically, customized policy design process intervene the activities as well as make alignment of relevant activities with policy priorities. With the joint implementation of the projects, it can ensure that the project-related inputs are highly aligned with the policies and plans of each department. In addition, the project has a lot of capacity building and public awareness campaigns targeting at the key policymakers and the public, with a focus on policy reforms, including field trips, which will accelerate the adoption and implementation of relevant policies at the Neixiang County and higher district levels. At the same time, the project will also support relevant research and other activities. Through corresponding capacity building and evaluation tools tracking, the project will also do follow-up analysis of relevant policy.</p> |
| <p>The main economic sectors didn't prioritize the economic transformation and environmental governance of resource-based cities and counties.</p>  | <p>Intermediate</p> | <p>This risk has been resolved in the project design stage. The industrial sectors such as financial management, development and reform, industry and information, PBOC, rural commercial banks, poverty alleviation,</p>   |

| Risks  | level               | Mitigation measure  |
|--|---------------------|---|
| <p>The project involves multiple economic planning and industrial sectors, especially in financial management, development and reform, industry and information, PBOC, rural commercial banks, poverty alleviation, natural resource management, ecology and environmental protection, forestry and grassland management, tourism development, agriculture and rural affairs, water conservancy, education, health, women's and children's federations, etc. Therefore, the project may not be effectively integrated with them. Accordingly, the project will not be able to achieve integrated planning and therefore will not provide long-term effective support for environmental governance and sustainable development.</p> |                     | <p>natural resource management, ecology and environmental protection, forestry and grassland management, tourism development, agriculture and rural affairs, water conservancy, education, health, women's and children's federations and other sectors have some deep conversations together and identified the cooperative opportunities – this is precisely the basic requirement for mainstreaming SDGs. In addition, mainstreaming SDGs into development planning is fully in line with current government policy priorities and has gained lots of support from the current government policies. Finally, the project design also includes the time phase and time schedule related to industry planning and industry special planning revision, which also provides favorable conditions and opportunities for the project revision.</p> |
| <p>There are certain risks in the environmental awareness output.</p>  | <p>Intermediate</p> | <p>The project will address this risk by developing and implementing a three-year SDG mainstreaming plan: 1) Target group for education and advocacy will include committee officials, business managers, primary and secondary school students, villagers of the township and village. The educational content and publicity methods will be customized for each target group. 2) Listen to the public's opinions widely, incorporate public opinions into the design and implementation process of education and publicity activities; 4) Combine the SDGs education and publicity activities, as well as the demonstration and outreach activities funded by the government and this project closely.</p>  |

### **3.7 Assessment of Partnerships**

99. The project will be conducted through National Implementation Modality (NIM).

100. UNDP and CICETE have more than 30 years of experience in cooperation in the field of development in China and have established robust national implementation modes as well as corresponding rules and regulations. This will provide an effective institutional guarantee for the smooth, effective and compliant implementation of the project, and with referential experience for Neixiang County to implement international cooperation projects. Based on the above analysis, the partnership of the project is perceived by both parties as solid.

### **3.8 Knowledge Sharing and the Best Practices**

101. The project will include several policy research products, planning, case analysis, capacity enhancement, and lessons learned reports, with strong features of “evidence-based policy intervention” and “evidence-based knowledge management”. In the implementation process, provincial and national international platforms for policy advocacy and knowledge sharing activities are also used. All these project activities will generate a large amount of data and case studies that will be adequately disseminated to relevant parties, both domestically and internationally as relevant.

102. The project will systematically collect, collate and analyze successful experiences and best practices by knowledge management methods, and regularly publish relevant topics, briefings and technical reports in conjunction with national, autonomous and municipal policy processes to share projects outcomes on a larger scale. In addition, the project will share knowledge and best practices through multiple channels, including online and offline tools.

### **3.9 Sustainability and Scaling up**

103. The project gives priority to the long-term sustainability of the project outcomes. In order to ensure the project's response to the latest technological advances and policy thinking and practices, the project will remain open to potential partners, including academia, stakeholders from the private sector, charitable foundations, and civil society groups. Such an arrangement will enhance the relevance and sustainability of the project, and lay the foundation for expanding the partnership, integrating project resources and expanding the scope of the project

104. Knowledge creation and sharing will be the essence of this project. Based on the implementation process of the project, as well as the relevant stages of policy introduction and implementation, the project results and a series of special research reports will be regularly published to provide referential experience and technical knowledge for relevant departments and other regions in Neixiang and beyond. As the project's design and implementation are closely related and highly consistent with the relevant policies, the project outcomes will remain within the framework of the project partners and be internalized within the current system, which will allow project outcomes' impacts to continue beyond the project cycle.

105. The financial sustainability of the project outcomes doesn't have a significant risk. At present, the financial resources in the field of environmental governance and promotion of sustainable development are constantly increasing in China and the Henan Province, and it is expected that the financial resources in this area will continue to increase in the foreseeable future. During the implementation of the project, the Project Coordination and Management Office and Executive Office will establish communication

channels and platforms between key stakeholders, and build partnership with the urban comprehensive functional departments and industry authorities to lay a broader and more solid foundation.

106. In addition to ensuring capacity building and the fiscal resources needed to implement the various programs and activities, the project design is also very cost-effective. Compared with environmental governance and rehabilitation projects based on a single engineering approach, the mainstreaming approach adopted by the project, which is intended to enhance the capacity of government departments' policies and planning processes and to form replicable and scalable affordable solutions based on demonstrations, is found to be beneficial to achieve the goals of enhancing environmental governance and SDGs. In this sense, the project has a high cost- benefit ratio.

107. Besides, the project design approach is conducive to involve community and private sector in environmental governance and rehabilitation. By improving collaboration between sectors and stabilizing engagement of community and private sector, project outcomes is hoped to be more sustainable in the future.

### **3.10 Communications of Results**

108. The project has incorporated public awareness, advocacy and “mainstreaming” into its project design.

109. The project will deepen the understanding of policymakers (government and enterprise level) and address the importance of environmental sustainability on public by 1) Support the development and implementation of a comprehensive three-year publicity and education plan for SDGs; 2) Support the Taishan Temple “ Rural Complex” demonstration plan and other communities to play the role of the mission center; 3) Create and operate the “County Economy Sustainable Development Experience Exchange and Sharing Mechanism Based on the UN SDGs Framework”. These three outputs are not only the main methods to support the project information dissemination, but also the main methods to support the dissemination of knowledge related to the SDGs framework in Neixiang County. In addition, they also serve as important methods to share the policy and practical experience of projects in promoting the sustainable development of the county economy on a wider scale.

110. The project will also make full use of the current partners and new communication platform to communicate with stakeholders, including: 1) UNDP website; 2) CICETE website; 3) Neixiang Principle Government website; 4) Briefings, special reports, internal reports, reports, announcements, and social medias such as WeChat and Weibo.

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## **IV. PROJECT MANAGEMENT**

111. The main activities of project management include: project planning, project implementation, monitoring and evaluation, annual audit, and project information communication exchange and knowledge sharing. In addition to the National Project Director, project management and executive staff include project managers, financial officers, information and communications officers.

112. The Project Management Office of the project will be set up in Finance Office of the Neixiang Government. The office is responsible for the coordination and implementation management of the project, monitors and evaluates the report of project activities in accordance with the work plan.

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## **V. PROJECT OUTCOME FRAMEWORK**

| Expected output  | Output indicator   | Data source   | Data collection method |      |      |                   |   |
|--|--|---|------------------------|------|------|-------------------|---|
|  |  |   | 2019                   | 2020 | 2021 | Final achievement |   |
| <b>Output 1.<br/>Develop policy recommendations for integrating the SDGs into the 14th Five-Year Plan of the Neixiang County</b> | 1.1 Apply SDGs Framework to evaluate the Neixiang County's 13th Five-Year Plan and develop policy recommendations to incorporate the SDGs into Neixiang County's 14th Five-Year Plan.  | Project Management Office Document, Technical Assistance Report | 1                      |      |      | 1                 | Annual report and periodic technical support report |
|  | 1.2 Conduct a survey of the social, economic and environmental baselines of Neixiang County, as well as the development and future development trends of the secondary industry.   | Project Management Office Document, Technical Assistance Report | 1                      |      | 1    | 2                 | Annual report and periodic technical support report |
|  | 1.3 Develop monitoring methods for Neixiang and conduct annual monitoring for this project.  | Project Management Office Document, Technical Assistance Report | 1                      | 1    | 1    | 1                 | Annual report and periodic technical support report |
|  | 1.4 Provide capacity building training sessions for government officials in Neixiang County, including trainings on SDGs, development planning, public services, social governance and inclusive finance.  | Project Management Office Document, Technical Assistance Report | 47                     | 45   | 30   | 122               | Annual report and periodic technical support report |
| <b>Output 2.<br/>Prepare a roadmap for social and economic development plans for Neixiang County based on the SDGs Framework</b> | 2.1 Carry out baseline survey of social, economic and environment development in the Neixiang County combined with the SDGs Framework, investigate and understand the policy status and data quality of the local key industries combination with the SDGs Framework, investigate and understand the policy status and data quality of the local key industries. | Project Management Office Document, Technical Assistance Report | 1                      |      | 1    | 2                 | Annual report and periodic technical support report |
|  | 2.2 Prepare development guidelines based on the SDGs Framework and the assessment of the implementation of Neixiang County's 13th Five-Year Plan; organize meetings and seminars of relevant industries and compile a social, economic and environmental development planning roadmap for Neixiang County.   | Technical Assistance Report                                     | 1                      |      |      | 1                 | Annual report and periodic technical support report |
|  | 2.3 Prepare a report on inclusive development and inclusive finance development in Neixiang County and formulate incentive policies and measures.  | Technical Assistance Report                                     | 1                      |      |      | 1                 | Annual report and periodic technical support report |

|  |  |   |   |   |   |    |  |
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|  | 2.4 Select key industries as sustainable development planning pilot according to the social, economic and environmental development planning roadmap.  | Technical Assistance Report                                     | 2 | 2 |   | 4  | Annual report and periodic technical support report                              |
| <b>Output 3.<br/>Carry out capacity building activities to help Neixiang government officials to improve their abilities to implement the SDGs Framework</b> | 3.1 Carry out needs assessment for capacity building activities and adopt a systematic approach to assess the status and development needs of relevant departments when implementing the SDGs, especially for those department with planning functions in the Neixiang Principle Government.       | Project Management Office Document, Technical Assistance Report | 1 | 1 |   | 2  | Annual report and periodic technical support report                              |
|  | 3.2 Conduct case studies of best practices for sustainable development in the domestic counties.   | Project Management Office Document, Technical Assistance Report | 1 | 1 | 1 | 3  | Annual report and periodic technical support report                              |
|  | 3.3 Conduct case studies of best practices for sustainable development in foreign counties or similar districts.   | Project Management Office Document, Technical Assistance Report | 1 | 1 | 1 | 3  | Annual report and periodic technical support report                              |
|  | 3.4 Develop methodologies for monitoring sustainable development target indicators and monitor the implementation of SDGs in Neixiang County.  | Project Management Office Document, Technical Assistance Report | 5 | 5 |   | 10 | Annual report and periodic technical support report                              |
| <b>Output 4<br/>Support the preparation and implementation of community development and community governance demonstration plans</b>                         | 4.1 Baseline surveys, conduct baseline surveys in demonstration areas, including farmer upgrade surveys; community service status surveys; community service needs surveys.  | Project Management Office Document, Technical Assistance Report | 1 |   | 1 | 2  | Annual report, county government documents and periodic technical support report |
|  | 4.2 Increase collective assets and increase income of collective asset by supporting the preparation and implementation of village collective economic development demonstration plan, through the rational use of demonstration village resources, in particular, the rational use of homesteads. | Project Management Office Document, Technical Assistance Report | 1 | 1 | 1 | 3  | Annual report, county government documents and periodic technical support report |
|  | 4.3 Improve community service functions, achieve a dynamic integration of rural pension, rural minimum living standard security system and dynamic integration services to demonstrate ageing services at the village level.   | Project Management Office Document, Technical Assistance Report | 1 | 1 |   | 2  | Annual report, county government documents and periodic technical support report |

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|  | 4.4 Support the preparation and implementation of the village collective economic development demonstration plan, by effectively using the villages' resource in demonstration area, especially have a better use of the homesteads, increase collective assets, and increase collective asset income. | Project Management Office Document, Technical Assistance Report | 1  | 1  |    | 2   | Annual report, county government documents and periodic technical support report |
| <b>Output 5.<br/>Support the preparation and implementation of the educational equalization demonstration plans</b>                    | 5.1 Plan demonstration primary schools based on local geographical conditions and population distribution.   | Project Management Office Document, Technical Assistance Report | 1  |    |    | 1   | Annual report, county government documents and periodic technical support report |
|  | 5.2 Provide public services such as school bus services to facilitate rural left-behind children to enter school.  | Project Management Office Document, Technical Assistance Report | 7  | 7  | 7  | 21  | Annual report, county government documents and periodic technical support report |
|  | 5.3 Improve the quality of rural school teachers and enhance the attractiveness of rural teachers. Provide comprehensive training in distance education and teacher rotation to substantially improve the quality of education.  | Project Management Office Document, Technical Assistance Report | 35 | 35 | 35 | 105 | Annual report, county government documents and periodic technical support report |
|  | 5.4 Provide comprehensive training in distance education and teacher rotation to substantially improve the level of education.   | Project Management Office Document, Technical Assistance Report | 3  | 3  | 3  | 9   | Annual report, county government documents and periodic technical support report |
| <b>Output 6.<br/>Promote the establishment of the Women's Development Fund</b>   | 6.1 Establish a Women's Development Fund to provide women with small loans to support their entrepreneurial activities.  | Project Management Office Document, Technical Assistance Report | 1  |    |    | 1   | Annual report, and periodic technical support report                             |
|  | 6.2 Establish women's centers and women's groups in model villages to promote women empowerment.   | Project Management Office Document, Technical Assistance Report | 3  | 6  | 8  | 17  | Annual report, and periodic technical support report                             |
| <b>Output 7.<br/>Support the preparation and implementation of the "Rural Complex" demonstration plan for the Zhaqu Taishan Temple</b> | 7.1 Village Environmental Planning.  | Project Management Office Document, Technical Assistance Report | 4  |    |    | 4   | Annual report, and periodic technical support report                             |
|  | 7.2 Industry Planning.   | Project Management Office Document, Technical Assistance Report | 4  |    |    | 4   | Annual report, and periodic technical support report                             |
|  | 7.3 Tourism Planning.  | Project Management Office Document, Technical Assistance Report | 4  |    |    | 4   | Annual report, and periodic technical support report                             |
|  | 7.4 Research on the organization and operation mode of the demonstration area, such as the organizational operation mode of "Company + Village + Family  | Project Management Office Document, Technical Assistance Report | 4  |    |    | 4   | Annual report, and periodic technical support report                             |



|  |  |   |     |     |     |     |  |
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|  | Farm".   |   |     |     |     |     |  |
|  | 7.5 Research on the mechanism of interest distribution: establish a complete set of interest distribution mechanisms, such as the cooperative dividend mechanism.                                | Project Management Office Document, Technical Assistance Report | 4   |     |     | 4   | Annual report, and periodic technical support report                             |
|  | 7.6 Research on market management entities and business models.  |   | 4   |     |     | 4   | Annual report, and periodic technical support report                             |
| <b>Output 8.<br/>Support the preparation and implementation of Deng Kiln Cultural Heritage and Wujia Stone Village Cultural Tourism demonstration plans</b>  | 8.1 Support the preparation and implementation of the Deng Kiln Cultural Heritage Cultural Tourism Demonstration Plan.   | Project Management Office Document, Technical Assistance Report | 1   |     |     | 1   | Annual report, and periodic technical support report                             |
|  | 8.2 Wujia Stone Village Cultural Tourism Demonstration Plan.   | Project Management Office Document, Technical Assistance Report | 1   |     |     | 1   | Annual report, and periodic technical support report                             |
| <b>Output 9.<br/>Support the establishment of the professional cooperative organizations and the convening of vocational skill training sessions to improve the professional skills and increase the income of local residents, especially women and the youth</b> | 9.1 Conduct financial literacy activities and design financial education programs (both online and offline) for women, young entrepreneurs, and grassroots cadres.                               | Project Management Office Document, Technical Assistance Report | 50  | 50  | 50  | 150 | Annual report, county government documents and periodic technical support report |
|  | 9.2 Conduct vocational skill training sessions, including tourism service training courses, prioritizing the needs of women and the youth.   | Project Management Office Document, Technical Assistance Report | 150 | 350 | 200 | 700 | Annual report, county government documents and periodic technical support report |
|  | 9.3 Support professional cooperative organizations, extending the relevant industrial chain of pilot villages (such as organic agriculture) and increasing employment opportunities for farmers. | Project Management Office Document, Technical Assistance Report | 2   | 2   | 2   | 8   | Annual report, county government documents and periodic technical support report |
| <b>Output 10.<br/>Develop a case of sustainable development in Neixiang County</b>   | 10.1 Summarize the experience of the Neixiang Principle Government in facilitating public goods, poverty alleviation and sustainable livelihoods respectively and form cases.                    | Project Management Office Document, Technical Assistance Report | 4   | 4   |     | 8   | Annual report, county government documents and periodic technical support report |
|  | 10.2 Conduct development policy impact assessment and complete the implementation of the SDGs: China's Experience - Neixiang Project, and form intellectual products.                            | Project Management Office Document, Technical Assistance Report |     | 1   |     | 1   | Annual report, county government documents and periodic technical support report |

|   |   |   |   |   |   |    |  |
|---|---|---|---|---|---|----|--|
|   | 10.3 Develop videos and other case materials, disseminate project results through the international network of UNDP.  | Project Management Office Document, Technical Assistance Report | 2 | 3 |   | 5  | Annual report, county government documents and periodic technical support report |
| <b>Output 11. Effectively improve the publicity capacity of the Neixiang County's sustainable development</b> | 11.1 Support the development and implementation of a comprehensive publicity and education plan for the three-year SDGs of the Neixiang County.   | Project Management Office Document, Technical Assistance Report | 1 |   |   | 1  | Annual report, and periodic technical support report                             |
|   | 11.2 Prepare training and publicity materials for different audiences.  | Project Management Office Document, Technical Assistance Report | 3 | 5 | 4 | 14 | Annual report, and periodic technical support report                             |
|   | 11.3 Support the demonstration sites such as the “Taishan Temple Rural Complex” and the role of community as publicity center; focusing on the education and awareness raising activities of the public SDGs and improve the publicity planning and activities. | Project Management Office Document, Technical Assistance Report | 1 | 1 | 1 | 3  | Annual report, county government documents and periodic technical support report |
|   | 11.4 Incorporate the core information of the SDGs Framework into cultural and sports activities in the Neixiang County, such as enterprise employee training sessions, cultural activities, mass sports games, knowledge contests and technical competitions.   | Project Management Office Document, Technical Assistance Report | 4 | 3 | 5 | 12 | Annual report, county government documents and periodic technical support report |
| <b>Output 12. Disseminate, share and promote the project results</b>  | 12.1 Create and regularly hold the “County Economy Sustainable Development Experience Exchange and Sharing Mechanism Based on the UN SDGs Framework.  | Project Management Office Document, Technical Assistance Report | 1 | 1 | 1 | 3  | Annual report, county government documents and periodic technical support report |
|   | 12.2 Share the experience of localization of the Neixiang County SDGs Framework at both national and international levels.  | Project Management Office Document, Technical Assistance Report | 2 | 5 | 5 | 12 | Annual report, and periodic technical support report                             |

## VI. MONITORING AND EVALUATION

113. The project will carry out project monitoring and evaluation according to UNDP's standard procedures of monitoring, assessment and evaluation. Monitoring and evaluation are based on the expected results listed in the project results framework, the output indicators, and the multiyear work plan of the project, which are the basis for monitoring and evaluating the progress of project implementation and the achievement of project achievements. During the project start-up workshop, these indicators will be reviewed according to the changes of external environment of the project. Based on the review, it will be decided whether these indicators and the monitoring and evaluation plan need to be modified. The Neixiang Project Management Office is responsible for the daily monitoring and periodic evaluation of the project activities.

114. In order to ensure that the strategic direction of the project and the achievement of the expected results are in line with the design of the project, the Neixiang Project Management Office will regularly check the implementation in cooperation with the Project Implementation Office. If the implementation of the project is off track or encounters resistance, the Neixiang County Project Management Office will promptly report the situation to CICETE and UNDP so that timely remedial measures can be taken.

### 6.1 Monitoring Plans

| Monitoring activities                     | Aims  | Frequency                    | Expected actions  | Partners   | Expenses (US\$) |
|---|---|------------------------------|---|--|-----------------|
| Monitoring Project Implementation Process | To collect and analyze the progress data of outcome indicators listed in the results and resource frameworks to assess progress in achieving project outputs.                     | Quarterly                    | If the progress is slower than expected, the Project Management Office will take measures to accelerate the progress.   | Project Management Office, related departments of the Neixiang Principle Government, and Technical Advisor | 26,000          |
| M&E for Risk                              | To use risk log and other tools to identify specific risks that may affect the achievement of expected results and monitor the implementation of risk management measures. Manage | Annually update the risk log | The Project Management Office will identify the risks and take actions to manage the risks. The risk log is updated timely to track the identified risks and measures taken | Project Management Office, related departments of Neixiang Principle Government, and Technical Advisor     | 3,700           |

| <b>Monitoring activities</b>                    | <b>Aims</b>   | <b>Frequency</b>   | <b>Expected actions</b>   | <b>Partners</b>  | <b>Expenses (US\$)</b> |
|---|---|--|---|--|------------------------|
|   | financial risk through auditing.  |  |   |  |                        |
| M&E for Project Quality                         | According to the quality standards of UNDP, the quality of the project will be evaluated, the strengths and weaknesses of the project will be identified, information will be provided for management decisions, and the quality of project implementation is improved, bringing better quality for the project implementation)   | Mid-term evaluation and final assessment (completion inspection) | The project management department will evaluate the strengths and weaknesses of the project and provides decision-making basis for improving project performance. | Project Management Office, related departments of Neixiang Principle Government, and Technical Advisor | 25,700                 |
| Baseline Assessment and Project Progress Report | The Project Management Office will submit a progress report in accordance with the requirements of UNDP, including 1) Progress data reflecting the degree of realization of output indicators; 2) Annual project quality assessment; 3) Risk log update and risk management and control measures taken by the project, and 4) Other assessments or review reports prepared during the reporting period. | Quarterly, semi-annually and annually                            |   | Project Management Office, related departments of Neixiang Principle Government, and Technical Advisor | 32,000                 |

| <b>Monitoring activities</b> | <b>Aims</b>  | <b>Frequency</b> | <b>Expected actions</b>  | <b>Partners</b>  | <b>Expenses (US\$)</b> |
|------------------------------|--|------------------|--|--|------------------------|
| Project Review               | The project will conduct regular performance evaluation and review the multi-year work plan to ensure that the project budget arrangement on track according to the actual situation. The project completion inspection (final assessment) will be carried out in the final year of the project, summarizing the project's experience and lessons learned, and discussing the arrangements for the promotion of the project's results in order to maximize the project results | Annually         | For identified issues such as quality or delayed schedules, the project management group should develop solutions in a timely manner, determine the implementation plan, and effectively solve problems. | Project Management Office, related departments of Neixiang Principle Government, and Technical Advisor | 30,000                 |
| Field Trips                  | Keep the overall implementation progress under control, investigate specific issues, help find ways to solve the problem, and understand the drafting progress of the progress report.   | Biannually       | UNDP and CECETE will participate in field trips twice a year   | Project Management Office, related departments of Neixiang Principle Government, and Technical Advisor | 8,000                  |

## 6.2 Evaluation Plans

115. The mid-term evaluation will take place in the 18th month after start of the project.

116. The mid-term evaluation will assess the progress of the expected results, identify existing problems and corresponding solutions, and identify experience and deficiencies in project design and implementation. The mid-term assessment focuses on the relevance, effectiveness, efficiency and sustainability of project implementation. The outline of the mid-term evaluation is to be jointly prepared by UNDP, CICETE and the Project Management Office.

117. The final assessment (completion inspection) will be conducted three months before the end of the project. The final evaluation's focus assessment will have the same focus as the mid-term review, but with a focus on the long-term results of the project/ impact and sustainability of the project's outcomes. The final assessment (completion inspection) will also provide suggestions for follow-up activities of the project. The outline (completion inspection) of the final assessment is to be jointly prepared by UNDP, CICETE and the Project Management Office.

#### Project evaluation plan

| Evaluation activity  | Expected time       | Responsible agency/expert                              | Expenses       |
|--|---------------------|--|----------------|
| Workshop of project preparation and start-up               | 4th quarter of 2018 | Project Management Office, and Consultants and Experts | US 10,000      |
| Annual report in 2019                                      | 4th quarter of 2019 | Project Management Office, and Consultants and Experts | Regular budget |
| 2020 Annual Progress Report and Mid-term Evaluation Report | 4th quarter of 2020 | Project Management Office, and Consultants and Experts | US 10,000      |
| 2021 Annual Progress Report and Final Evaluation Report    | 4th quarter of 2021 | Project Management Office, and Consultants and Experts | US 10,000      |

## VII. MULTI-YEAR WORK PLANS

| Expected Output  | Planned Activities   | Planned Budget by year |        |        |  | Responsible Parties | Planned Budget Allocation |          |                |
|--|--|------------------------|--------|--------|--|---------------------|---------------------------|----------|----------------|
|  |  | 2019                   | 2020   | 2021   |  |                     | GOV/CS                    | Parallel | Total          |
| <b>Output 1.<br/>Develop policy recommendations for integrating the SDGs into the 14th Five-Year Plan of the Neixiang County</b> | 1.1 Apply SDGs Framework to evaluate the Neixiang County's 13th Five-Year Plan and develop policy recommendations to incorporate the SDGs into Neixiang County's 14th Five-Year Plan.  | 30,000                 |        |        |  | PMO                 | 30,000                    |          | 30,000         |
|  | 1.2 Conduct a survey of the social, economic and environmental baselines of Neixiang County, as well as the development and future development trends of the secondary industry.   | 20,000                 | 20,000 |        |  | PMO                 | 40,000                    |          | 40,000         |
|  | 1.3 Develop monitoring methods for Neixiang and conduct annual monitoring for this project.  | 10,000                 | 10,000 | 10,000 |  |                     | 30,000                    |          | 30,000         |
|  | 1.4 Provide capacity building training sessions for government officials in Neixiang County, including trainings on SDGs, development planning, public services, social governance and inclusive finance.  | 10,000                 | 10,000 | 10,000 |  | PMO                 | 30,000                    |          | 30,000         |
| <b>In total (Output 1)</b>   |  |                        |        |        |  |                     | <b>130,000</b>            |          | <b>130,000</b> |
| <b>Output 2.<br/>Prepare a roadmap for social and economic development plans for Neixiang County based on the SDGs Framework</b> | 2.1 Carry out baseline survey of social, economic and environment development in the Neixiang County combined with the SDGs Framework, investigate and understand the policy status and data quality of the local key industries combination with the SDGs Framework, investigate and understand the policy status and data quality of the local key industries. | 12,000                 |        | 12,000 |  | PMO                 | 24,000                    |          | 24,000         |
|  | 2.2 Prepare development guidelines based on the SDGs Framework and the assessment of the implementation of Neixiang County's 13th Five-Year Plan; organize meetings and seminars of relevant industries and compile a social, economic and environmental development planning roadmap for Neixiang County.   | 17,000                 | 22,000 | 19,600 |  | PMO                 | 58,600                    |          | 58,600         |
|  | 2.3 Prepare a report on inclusive development and  |                        | 16,000 |        |  | Project PMO         | 16,000                    |          | 16,000         |

| Expected Output  | Planned Activities   | Planned Budget by year |        |        |        | Responsible Parties | Planned Budget Allocation |          |                |
|--|--|------------------------|--------|--------|--------|---------------------|---------------------------|----------|----------------|
|  |  | 2019                   | 2020   | 2021   |        |                     | GOV/CS                    | Parallel | Total          |
|  | inclusive finance development in Neixiang County and formulate incentive policies and measures.  |                        |        |        |        |                     |                           |          |                |
|  | 2.4 Select key industries as sustainable development planning pilot according to the social, economic and environmental development planning roadmap.  |                        | 28,000 | 28,000 |        | PMO                 | 56,000                    |          | 56,000         |
| <b>In total (Output 2)</b>   |  |                        |        |        |        |                     | <b>154,600</b>            |          | <b>154,600</b> |
| <b>Output 3. Carry out capacity building activities to help Neixiang government officials to improve their abilities to implement the SDGs Framework</b> | 3.1 Carry out needs assessment for capacity building activities and adopt a systematic approach to assess the status and development needs of relevant departments when implementing the SDGs, especially for those department with planning functions in the Neixiang Principle Government. | 6,000                  | 6,000  |        |        | PMO                 | 12,000                    |          | 12,000         |
|  | 3.2 Conduct case studies of best practices for sustainable development in the domestic counties.   | 45,000                 | 45,000 | 45,000 | 45,000 | PMO                 | 18,000                    |          | 18,000         |
|  | 3.3 Conduct case studies of best practices for sustainable development in foreign counties or similar districts.   |                        | 16,000 |        |        | PMO                 | 16,000                    |          | 16,000         |
|  | 3.4 Develop methodologies for monitoring sustainable development target indicators and monitor the implementation of SDGs in Neixiang County.  | 10,000                 | 10,000 |        |        | PMO                 | 20,000                    |          | 20,000         |
|  | 3.5 Conduct study on best practices of sustainable development in similar administrative regions abroad (7 people/time, 10 days).  |                        | 58,000 |        |        |                     | 58,000                    |          | 58,000         |
| <b>In total (Output 3)</b>   |  |                        |        |        |        |                     | <b>124,000</b>            |          | <b>124,000</b> |
| 20,000   | 4.1 Baseline surveys, conduct baseline surveys in demonstration areas, including farmer upgrade surveys; community service status surveys; community service needs surveys.  | 15,000                 |        | 15,000 |        | PMO                 | 30,000                    |          | 30,000         |
|  | 4.2 Increase collective assets and increase income   | 30,000                 | 42,000 |        |        | PMO                 | 92,000                    |          | 92,000         |



| Expected Output   | Planned Activities  | Planned Budget by year |        |        |  | Responsible Parties | Planned Budget Allocation |                |                |
|---|---|------------------------|--------|--------|--|---------------------|---------------------------|----------------|----------------|
|   |   | 2019                   | 2020   | 2021   |  |                     | GOV/CS                    | Parallel       | Total          |
|   | of collective asset by supporting the preparation and implementation of village collective economic development demonstration plan, through the rational use of demonstration village resources, in particular, the rational use of homesteads. |                        |        |        |  |                     |                           |                |                |
|   | 4.3 Improve community service functions, achieve a dynamic integration of rural pension, rural minimum living standard security system and dynamic integration services to demonstrate ageing services at the village level.                    | 36,000                 | 36,000 | 36,000 |  | PMO                 | 108,000                   |                | 108,000        |
| <b>In total (output 4)</b>  |   |                        |        |        |  |                     | <b>230,000</b>            |                | <b>230,000</b> |
| <b>Output 5. Support the preparation and implementation of the educational equalization demonstration plans</b> | 5.1 Plan demonstration primary schools based on local geographical conditions and population distribution.  | 40,000                 | 40,000 | 40,000 |  | PMO                 |                           | 120,000        | 120,000        |
|   | 5.2 Provide public services such as school bus services to facilitate rural left-behind children to enter school.   | 45,000                 | 45,000 | 45,000 |  | PMO                 | 50,000                    | 85,000         | 135,000        |
|   | 5.3 Improve the quality of rural school teachers and enhance the attractiveness of rural teachers. Provide comprehensive training in distance education and teacher rotation to substantially improve the quality of education.                 | 15,000                 | 15,000 | 5,000  |  | PMO                 | 35,000                    |                | 35,000         |
|   | 5.4 Provide comprehensive training in distance education and teacher rotation to substantially improve the level of education.  | 69,000                 | 50,000 | 50,000 |  | PMO                 | 73,000                    | 96,000         | 169,000        |
| <b>In total (output 5)</b>  |   |                        |        |        |  |                     | <b>158,000</b>            | <b>301,000</b> | <b>459,000</b> |
| <b>Output 6. Promote the establishment of the Women's Development Fund</b>                                      | 6.1 Establish a Women's Development Fund to provide women with small loans to support their entrepreneurial activities.   | 200,000                |        |        |  | PMO                 | 200,000                   |                | 200,000        |
|   | 6.2 Establish women's centers and women's groups in model villages to promote women empowerment.  | 10,000                 | 10,000 | 10,000 |  | PMO                 | 30,000                    |                | 30,000         |
| <b>In total (output 6)</b>  |   |                        |        |        |  |                     | <b>230,000</b>            |                | <b>20,000</b>  |

| Expected Output  | Planned Activities   | Planned Budget by year |         |         |  | Responsible Parties | Planned Budget Allocation |                |                |
|--|--|------------------------|---------|---------|--|---------------------|---------------------------|----------------|----------------|
|  |  | 2019                   | 2020    | 2021    |  |                     | GOV/CS                    | Parallel       | Total          |
| <b>Output 7.</b><br>Support the preparation and implementation of the “Rural Complex” demonstration plan for the Zhaqu Taishan Temple  | 7.1 Village Environmental Planning.  | 150,000                | 75,000  | 25,000  |  | PMO                 | 50,000                    | 200,000        | 250,000        |
|  | 7.2 Industry Planning.   | 125,000                | 75,000  | 50,000  |  |                     | 50,000                    | 200,000        | 250,000        |
|  | 7.3 Tourism Planning.  | 30,000                 | 20,000  | 20,000  |  | PMO                 |                           | 70,000         | 70,000         |
|  | 7.4 Research on the organization and operation mode of the demonstration area, such as the organizational operation mode of “Company + Village + Family Farm”.     | 14,500                 |         |         |  | PMO                 | 145,000                   |                | 145,000        |
|  | 7.5 Research on the mechanism of interest distribution: establish a complete set of interest distribution mechanisms, such as the cooperative dividend mechanism.  | 10,000                 |         |         |  | PMO                 | 10,000                    |                | 10,000         |
|  | 7.6 Research on market management entities and business models.  | 10,000                 |         |         |  | PMO                 | 10,000                    |                | 10,000         |
| <b>In total (output 7)</b>   |  |                        |         |         |  |                     | <b>134,500</b>            | <b>470,000</b> | <b>604,500</b> |
| <b>Output 8.</b><br>Support the preparation and implementation of Deng Kiln Cultural Heritage and Wujia Stone Village Cultural Tourism | 8.1 Support the preparation and implementation of the Deng Kiln Cultural Heritage Cultural Tourism Demonstration Plan.   | 80,000                 | 140,000 | 140,000 |  | PMO                 | 80,000                    | 280,000        | 360,000        |
|  | 8.2 Wujia Stone Village Cultural Tourism Demonstration Plan.   | 100,000                | 280,000 |         |  | PMO                 | 100,000                   | 280,000        | 380,000        |
| <b>In total (output 8)</b>   |  |                        |         |         |  |                     | <b>180,000</b>            | <b>560,000</b> | <b>740,000</b> |
| <b>Output 9.</b><br>Support the establishment of   | 9.1 Conduct financial literacy activities and design financial education programs (both online and offline) for women, young entrepreneurs, and grassroots cadres. | 15,000                 | 15,000  |         |  | PMO                 | 30,000                    |                | 30,000         |

| Expected Output  | Planned Activities   | Planned Budget by year |         |         |  | Responsible Parties | Planned Budget Allocation |                |                |
|--|--|------------------------|---------|---------|--|---------------------|---------------------------|----------------|----------------|
|  |  | 2019                   | 2020    | 2021    |  |                     | GOV/CS                    | Parallel       | Total          |
| the professional cooperative organizations and the convening of vocational skill training sessions to improve the professional skills and increase the income of local residents, especially women and the youth | 9.2 Conduct vocational skill training sessions, including tourism service training courses, prioritizing the needs of women and the youth.   | 12,500                 | 172,500 | 160,000 |  | PMO                 | 25,000                    | 320,000        | 345,000        |
|  | 9.3 Support professional cooperative organizations, extending the relevant industrial chain of pilot villages (such as organic agriculture) and increasing employment opportunities for farmers. | 157,500                | 157,500 |         |  | PMO                 | 15,000                    | 300,000        | 315,000        |
| <b>In total (output 9)</b>   |  |                        |         |         |  |                     | <b>70,000</b>             | <b>620,000</b> | <b>690,000</b> |
| Output 10. Develop a case of sustainable development in Neixiang County  | 10.1 Summarize the experience of the Neixiang Principle Government in facilitating public goods, poverty alleviation and sustainable livelihoods respectively and form cases.                    | 12,500                 | 12,500  |         |  | PMO                 | 25,000                    |                | 25,000         |
|  | 10.2 Conduct development policy impact assessment and complete the implementation of the SDGs: China's Experience - Neixiang Project, and form intellectual products.                            | 11,700                 | 16,700  | 16,000  |  | PMO                 | 44,400                    |                | 44,400         |
|  | 10.3 Develop videos and other case materials, disseminate project results through the international network of UNDP.   |                        | 20,000  | 30,000  |  | PMO                 | 50,000                    |                | 50,000         |
| <b>In total (output 10)</b>  |  |                        |         |         |  |                     | <b>119,400</b>            |                | <b>119,400</b> |
| Output 11. Effectively improve the publicity   | 11.1 Support the development and implementation of a comprehensive publicity and education plan for the three-year SDGs of the Neixiang County.  |                        | 10,000  |         |  | PMO                 | 10,000                    |                | 10,000         |
|  | 11.2 Prepare training and publicity materials for different audiences.   | 16,000                 | 20,000  | 15,000  |  | PMO                 | 51,000                    |                | 51,000         |

| Expected Output   | Planned Activities  | Planned Budget by year |           |           |  | Responsible Parties | Planned Budget Allocation |                  |                     |
|---|---|------------------------|-----------|-----------|--|---------------------|---------------------------|------------------|---------------------|
|   |   | 2019                   | 2020      | 2021      |  |                     | GOV/CS                    | Parallel         | Total               |
| capacity of the Neixiang County's sustainable development     | 11.3 Support the demonstration sites such as the “Taishan Temple Rural Complex” and the role of community as publicity center; focusing on the education and awareness raising activities of the public SDGs and improve the publicity planning and activities. | 10,000                 | 10,000    | 10,000    |  | PMO                 | 30,000                    |                  | 30,000              |
|   | 11.4 Incorporate the core information of the SDGs Framework into cultural and sports activities in the Neixiang County, such as enterprise employee training sessions, cultural activities, mass sports games, knowledge contests and technical competitions.   | 10,000                 | 10,000    | 10,000    |  | PMO                 | 30,000                    |                  | 30,000              |
| <b>In total (output 11)</b>                                   |   |                        |           |           |  |                     | <b>121,000</b>            |                  | <b>121,000</b>      |
| Output 12. Disseminate, share and promote the project results | 12.1 Create and regularly hold the “County Economy Sustainable Development Experience Exchange and Sharing Mechanism Based on the UN SDGs Framework.  | 12,000                 | 145,000   | 145,000   |  | PMO                 | 302,000                   |                  | 302,000             |
|   | 12.2 Share the experience of localization of the Neixiang County SDGs Framework at both national and international levels.  | 20,000                 | 20,000    | 20,000    |  | PMO                 | 60,000                    |                  | 60,000              |
| <b>In total (output 12)</b>                                   |   |                        |           |           |  |                     | <b>362,000</b>            |                  | <b>362,000</b>      |
| Technical Advisor   |   | 15,000                 | 15,000    | 15,000    |  | PMO                 | 45,000                    |                  | 45,000              |
| Project Manager   |   | 54,200.85              | 54,200.85 | 54,200.85 |  | PMO                 | 162,602.45                |                  | 162,602.54          |
| Project Coordinator   |   | 45,166.67              | 45,166.67 | 45,166.67 |  | PMO                 | 135,500                   |                  | 135,500             |
| Project staff in total  |   |                        |           |           |  |                     | 343,102.54                |                  | 343,102.54          |
| <b>Total</b>  |   |                        |           |           |  |                     | <b>2,356,602.54</b>       | <b>1,951,000</b> | <b>4,307,602.54</b> |

| Expected Output            | Planned Activities                    |                 | Planned Budget by year |        |        |  | Responsible Parties | Planned Budget Allocation |                  |                     |
|----------------------------|---------------------------------------|-----------------|------------------------|--------|--------|--|---------------------|---------------------------|------------------|---------------------|
|                            |                                       |                 | 2019                   | 2020   | 2021   |  |                     | GOV/CS                    | Parallel         | Total               |
| Start-up of the project    | Project preparation, startup workshop | Startup project | 10,000                 |        |        |  | PMO                 | 10,000                    |                  | 10,000              |
| Mid-term Evaluation        |                                       |                 |                        | 10,000 |        |  | PMO                 | 10,000                    |                  | 10,000              |
| Final Evaluation           |                                       |                 |                        |        | 10,000 |  | PMO                 | 10,000                    |                  | 10,000              |
| UNDP TRAC                  |                                       |                 | 7,000                  | 8,000  | 7,000  |  | UNDP                |                           | 22,000           | 22,000              |
| UNDP GMS (3%)              |                                       |                 |                        |        |        |  | UNDP                | 96,000                    |                  | 96,000              |
| CICETE GMS (3%)            |                                       |                 |                        |        |        |  | CICETE              | 96,000                    |                  | 96,000              |
| UNDP DPC (5%)              |                                       |                 |                        |        |        |  | UNDP                | 144,000                   |                  | 144,000             |
| CICETE DPC (5%)            |                                       |                 |                        |        |        |  | CICETE              | 144,000                   |                  | 144,000             |
| <b>In total</b>            |                                       |                 |                        |        |        |  |                     | <b>2,866,602.54</b>       | <b>1,973,000</b> | <b>4,839,602.54</b> |
| <b>Available Resources</b> | Neixiang Government apportioned funds |                 |                        |        |        |  |                     | <b>2,866,602.54</b>       |                  |                     |
|                            | Neixiang Government Parallel Funding) |                 |                        |        |        |  |                     | <b>1,951,000</b>          |                  |                     |
|                            | UNDP TRAC                             |                 |                        |        |        |  |                     | <b>22,000</b>             |                  |                     |
| <b>Unfunded</b>            | <b>In sum</b>                         |                 |                        |        |        |  |                     | <b>4,839,602.54</b>       |                  |                     |
| <b>In total</b>            |                                       |                 |                        |        |        |  |                     | <b>4,839,602.54</b>       |                  |                     |

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## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

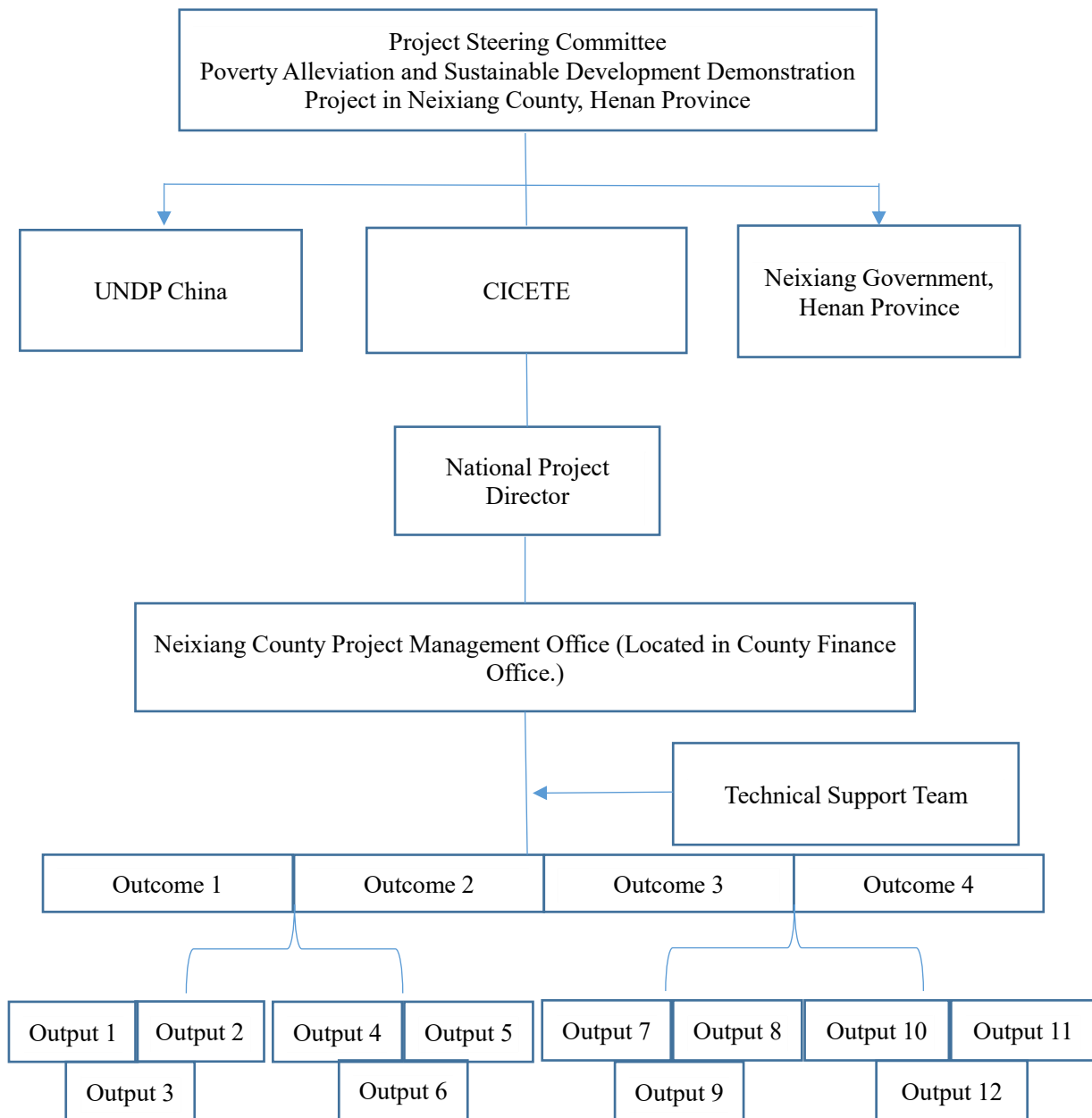
### 8.1. Implementation mode

118. The implementation and management modality of this project is National Implementation Modality (NIM).

### 8.2. Project management framework

119. To ensure the project implementation, the project will establish: 1) Project Steering Committee, being responsible for strategic decision-making; 2) Project Management Office, being responsible for the project implementation, and ensuring the achievement of project output and outcome.

#### Project Management and Organization Structure



### **8.3. Main responsibilities of various stakeholders**

#### **8.3.1. Project steering committee**

120. To provide policy and strategic guidance for the implementation, the “Project Steering Committee” will be established. The Project Steering Committee is composed of representatives from UNDP, CICETE, the Neixiang Government and its leading and coordination departments.

121. The Project Steering Committee will meet annually. The responsibilities of the Project Steering Committee include: 1) To approve the Annual Work Plan; 2) To review and approve the Annual Progress Report; 3) To provide technical assistance and suggestion; 4) To mobilize policies, human resources and supporting funding resources to support the implementation; 5) To ensure the coordination of various opinions from member units; 6) To conduct comprehensive assessment of the project's final results.

#### **8.3.2. UNDP**

122. UNDP China Office will be mainly responsible for: 1) Participate in project design and project document composition; 2) Monitor and evaluate project progress with CICETE to ensure expected outcome; 3) Provide international experience and technology to promote project outcome.

#### **8.3.3. CICETE**

123. CICETE is the focal point of UNDP's cooperation project in China designated by the Ministry of Commerce. CICETE has more than 30 years of management experience in UNDP projects and has successfully organized and implemented more than 900 projects in the development field. CICETE signs the project documents on behalf of the government and oversees the project with UNDP to ensure the overall project quality and provide necessary support for the project.

#### **8.3.4. Neixiang Government**

124. Neixiang Government is responsible for offering guidance, policy and organizational coordination for the implementation, supporting coordination among organizations. Since the project design involves policy reform, planning adjustment, industrial structure layout, financial and credit policies and other areas with strong policy sensitivity, and involves cross-industry and cross-sector coordination, the Neixiang Government shall sets up a Project Management Office in the county finance office and provides office space, staff and office equipment for the Project Management Office.

#### **8.3.5 Project Management Office**

125. The Project Management Office is set under the finance office in the Neixiang Government. Under the guidance of the Project Steering Committee, the Project Management Office is responsible for the coordination and management of the project. In the Project Management Office, there will be a position of a National Project Director, a county leader will be appointed by the Neixiang Government. (By the project steering committee)

126. Under the policy guidance and supervision of the Project Steering Committee, the Project Management Office is responsible for the specific implementation of the project activities according to the management requirements of CICETE and UNDP. Their detailed responsibilities include: compiling work plan, the daily management and implementation, monitoring the progress and delivery, promoting the experience sharing and preparing periodic report, etc. The office will also be responsible for all administrative and financial accounting during project implementation. The Project Management Office

consists of: Project Manager, Project Coordinator, Assistant, Knowledge Officer, Project Accountant and Cashier.

#### **8.4. Others**

127. During the implementation of the project, the project will seek to cooperate with other similar projects and jointly implement the activities specified in the project documents and achieve deliverable technical results in areas where applicable.

128. During implementation, the project will be open to cooperation with stakeholders including the private sector, academia, charitable foundations, and other civil society. With new partners, new project activities will be created and approved in accordance with the requirements of the project cycle management of UNDP and the Ministry of Commerce while relevant agreement procedures will be followed.

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### **IX. LEGAL CONTEXT AND RISK MANAGEMENT**

#### **9.1 Legal Environment**

129. This project document shall form a legal cooperation document by means of a three-party agreement between UNDP, CICETE and Neixiang Government. All references in the document to “Key Stakeholders”, “Executing Agency”, “Partnering Institutions” shall be deemed to refer to “Implementing Partner”.

130. This project will be implemented in accordance with 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.

#### **9.2 Legal context standard clauses**

131. New partners participating in the project and newly designed project activities will be established, designed and approved in accordance with the requirements of the project management cycle of the UNDP and the Ministry of Commerce. The parties will implement the partnership in the form of a signed project document (agreement) with a supplemental clause (revision).

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### **X. RISK MANAGEMENT STANDARD CLAUSES**

132. 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.

133. 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.



134. 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](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

135. 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>).

136. 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 stakeholders are informed of and have access to the Accountability Mechanism.

137. 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.

138. 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.

139. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).

140. 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.

141. 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. 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.

142. 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.

143. 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.

144. 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.

145. 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.

## ANNEX 1: PROJECT QUALITY ASSURANCE REPORT

| PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL  |  |   |  |  |
|--|--|---|--|--|
| OVERALL PROJECT  |  |   |  |  |
| EXEMPLARY (5)<br>●●●●●   | HIGHLY SATISFACTORY (4)<br>●●●●○   | SATISFACTORY (3)<br>●●●○○   | NEEDS IMPROVEMENT (2)<br>●●○○○   | INADEQUATE (1)<br>●○○○○  |
| 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 SES 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   |  |   |  |  |
| <p><b>APPROVE</b> – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.</p> <p><b>APPROVE WITH QUALIFICATIONS</b> – 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.</p> <p><b>DISAPPROVE</b> – the project has significant issues that should prevent the project from being approved as drafted.</p>  |  |   |  |  |
| RATING CRITERIA  |  |   |  |  |
| STRATEGIC  |  |   |  |  |
| <p>1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> <li>3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.</li> <li>2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.</li> <li>1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.</li> </ul>  |  |   | 3 ✓  | 2  |
|  |  |   | 1  |  |
|  |  |   | EVIDENCE   |  |
| <p><b>Evidence</b> The project strategy and objectives are in line with the social and economic development strategies of China, Henan Province and Neixiang County. The project design reflects primary priorities of a number of government agencies in Neixiang County, which were identified and agreed during the consultations organized during the project formulation. The document precisely analyzes development challenges, the assumptions, strategic objectives, the expected outcome, the planned output/activities to achieve the project results. The project formulation also conducted risk assessment and proposed corresponding mitigation measures.</p>   |  |   |  |  |
| <p>2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> <li>3: The project responds to one of the three areas of development work as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. (all must be true to select this option)</li> <li>2: The project responds to one of the three areas of development work as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true to select this option)</li> <li>1: While the project may respond to one of the three areas of development work as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.</li> </ul>   |  |   | 3 ✓  | 2  |
|  |  |   | 1  |  |
|  |  |   | EVIDENCE   |  |
| <p><b>Evidence</b> This project will support the implementation of the SDGs, contribution to the SDGs including: Goal 1 End poverty in all its forms everywhere; Goal 3 Ensure healthy lives and promote well-being for all at all ages; Goal 4 Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all; Goal 5 Achieve gender equality and empower all women and girls; Goal 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all; Goal 9 Build resilient infrastructure, promote inclusive and sustainable industrialization, and foster innovation; Goal 10 Reduce income inequality within and among countries; Goal 11 Make cities and human settlements inclusive, safe, resilient, and sustainable; Goal 13 Take urgent action to combat climate change and its impacts by regulating emissions and promoting developments in renewable energy; Goal 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss; Goal 17 Strengthen the means of implementation and revitalize the global partnership for sustainable</p> |  |   |  |  |

|   |          |     |
|---|----------|-----|
| development.  |          |     |
| <b>Contribution to the Outcomes of United Nations Development Assistance Framework for the People’s Republic of China (2016-2020)</b>   |          |     |
| Outcome 1: More people, particularly the vulnerable and disadvantaged, enjoy improved living conditions and increased opportunities for economic, social and cultural development.  |          |     |
| Outcome 2: More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth.  |          |     |
| Outcome 3: The effectiveness of China’s engagement in international cooperation is enhanced for the mutual benefit of China and the world.  |          |     |
| <b>Contribution to the outcomes of UNDP Country Programme Document for China (2016-2020)</b>  |          |     |
| Outcome 1: More and more people, particularly the vulnerable and disadvantaged, can enjoy the improved living conditions and increased opportunities for economic, social and cultural development.   |          |     |
| Outcome 2: As a result of improved environmental protection and sustainable green growth, more people can enjoy a cleaner, healthier and safer environment.   |          |     |
| Outcome 3: The effectiveness of China’s engagement in international cooperation is enhanced for the mutual benefit of China and the world.  |          |     |
| <b>RELEVANT</b>   |          |     |
| <p>3 Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> <li>3: The target groups/geographic areas are appropriately specified, prioritizing the excluded and/or marginalized. Beneficiaries will be identified through a rigorous process based on evidence (if applicable). The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (all must be true to select this option)</li> <li>2: The target groups/geographic areas are appropriately specified, prioritizing the excluded and/or marginalized. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (both must be true to select this option)</li> <li>1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalized populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project. *Note: Management Action must be taken for a score of 1 or select not applicable.</li> </ul>  | 3 ✓      | 2   |
|   | 1        |     |
|   | EVIDENCE |     |
| <p><b>Evidence</b> The strategic goal of the project is to mainstream the SDGs in the development strategy of the Neixiang County, improve the local government’s capacity to apply the SDG framework to guide resource planning, support the sustainable development of the social economy and the people’s livelihoods in Neixiang County, “rural revitalization”, promote the realization of “a moderately prosperous society”, and share the experiences of sustainable development in Neixiang County at both the national and international levels. Key stakeholders, including government agencies, private sectors and local communities, were consulted during the project formulation, the project will continue engagement with them during the project implementation, monitoring and evaluation. Representatives of the key stakeholders will also participate in the Project Steering Committee to provide policy guidance and advices to ensure the direction of project implementation and substantive stakeholders’ participation in the project implementation.</p>   |          |     |
| <p>4. Have knowledge, good practices, and past lessons learned from UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> <li>3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project’s theory of change and justify the approach used by the project over alternatives.</li> <li>2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project’s theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.</li> <li>1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.</li> </ul>  | 3 ✓      | 2   |
|   | 1        |     |
|   | EVIDENCE |     |
| <p><b>Evidence</b> The project design was carried out by taking into consideration of experiences and lessons learned from UNDP and others, e.g. UNDP NIM Guangxi Sustainable Development Project, EU-Sino Environment Governance Program. The proposed project modalities and approaches have been implemented by UNNDP China and CICETE, which have been proved effective and efficient project modality.</p>   |          |     |
| <p>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> <li>3: A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)</li> <li>2: A gender analysis in the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated into the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)</li> <li>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 constraints have not been clearly identified and interventions have not been considered.</li> </ul> | 3        | 2 ✓ |
|   | 1        |     |
|   | EVIDENCE |     |
| <p><b>Evidence</b> The project conducted gender analysis at instructional and community level by using semi-structured interview techniques. Gender issue has been mainstreamed into design of outcomes, outputs, detailed activities and project implementation and management. Gender analysis and expected results have</p>  |          |     |

|   |          |    |
|---|----------|----|
| been described in the section of theory of change and the results framework. A specific Women Development Fund has been designed under this project.  |          |    |
| <p>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> <li>• 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. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project’s intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (all must be true to select this option) 2.</li> <li>• 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labor between UNDP and partners through the project. Options for south-south and triangular cooperation may have not been fully developed during project design, even if relevant opportunities have been identified.</li> <li>• 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is a 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</li> </ul> | 3        | 2√ |
|   | 1        |    |
|   | EVIDENCE |    |
| <p><b>Evidence</b> The project is clearly conducive to UNDP attracting relevant stakeholders in the areas of environmental governance and sustainable development, promoting sustainable development in Neixiang County, including promoting economic structural transformation and promoting inclusive economic growth, social service equalization and gender equality, environmental sustainability, strengthening adaptation to climate change and promoting good social governance. This is critical to achieving the expected results of project implementation, and it will also ensure project outcomes and impact at the global level. UNDP can also help Neixiang County to refine its best practices and promote it among national, regional and international development partners, and UNDP has a unique advantage in terms of convening power and global reach.</p>   |          |    |
| <b>SOCIAL &amp; ENVIRONMENTAL STANDARDS</b>   |          |    |
| <p>7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> <li>• 3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on the 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 to select this option)</li> <li>• 2: Some evidence that the project aims to further the realization of human rights. 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.</li> <li>• 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.</li> </ul>  | 3        | 2√ |
|   | 1        |    |
|   | EVIDENCE |    |
| <p><b>Evidence</b> The contribution of the project’s focused areas to the protection of human rights is improved. The detailed design of all project activities will be designed in a participatory manner to ensure that local communities and local residents are effectively involved in the planning and decision-making process, paying attention to the interests of vulnerable groups and small farmers, and establishing effective information transparency and feedback mechanisms. The complaints mechanism is embedded in the project implementation management system to prevent potential adverse effects on human rights.</p>   |          |    |
| <p>8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> <li>• 3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (All must be true to select this option).</li> <li>• 2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.</li> <li>• 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.</li> </ul>   | 3√       | 2  |
|   | 1        |    |
|   | EVIDENCE |    |
| <p><b>Evidence</b> Improving environmental governance, enhancing environmental sustainability and strengthening adaptation to climate change are integral parts of the project’s main objectives. It will integrate sustainable land use, landscape management, biodiversity conservation and climate change into development planning by strengthening environmentally relevant policy processes to improve capacity of adapting to climate change and improve policy processes and implementation of environmental governance. The “Country Complex” demonstration will provide examples of the results of planning and planning practices.</p>   |          |    |
| <p>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>   | Yes√     | No |
|   | EVIDENCE |    |
| <p><b>Evidence</b> A completed social and environmental impact screening assessment was conducted during the project design phase. The assessment indicated that</p>  |          |    |

the social and environmental impact of the project was positive. Potential risks and mitigation measures were also analysed during the screening and evaluation process. See the risk log in Annex 3 of the project document for details.

## MANAGEMENT & MONITORING

|  |          |   |
|--|----------|---|
| <p>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> <li>3: The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (all must be true to select this option)</li> <li>2: The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (all must be true to select this option)</li> <li>1: The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; 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.</li> </ul> | 3 ✓      | 2 |
|  | 1        |   |
|  | EVIDENCE |   |

**Evidence** This project's results framework and the planned outputs are accompanied by SMART indicators.

|  |           |        |
|--|-----------|--------|
| 11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project? | Yes (3) ✓ | No (1) |
|--|-----------|--------|

**Evidence** The M&E plan in this project document covers the specified data collection sources and methods, with a comprehensive and costed design

|  |          |   |
|--|----------|---|
| <p>12. Is the project's governance mechanism clearly defined in the project document, including a planned composition of the project board? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> <li>3: The project's governance mechanism is fully defined in the project composition. 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 to select this option).</li> <li>2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The ProDoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true to select this option)</li> <li>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.</li> </ul> | 3 ✓      | 2 |
|  | 1        |   |
|  | EVIDENCE |   |

**Evidence** This project's governance structure is clearly indicated in the project document, with specific details on the governance roles and responsibilities of each stakeholder in the project. The organizational structure is indicated in both graph and narrative forms.

|  |          |   |
|--|----------|---|
| <p>13. Have the project risks been identified with clear plans stated to manage and mitigate each risk? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> <li>3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (both must be true to select this option)</li> <li>2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.</li> <li>1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included in the project document</li> </ul> | 3 ✓      | 2 |
|  | 1        |   |
|  | EVIDENCE |   |

**Evidence** A thorough Social and Environmental Standards and Screening was conducted at the project design stage (Annex 2). The assessment shows that social and environment impacts of the project are positive. Potential risks have been estimated and can be seen on the risk log in Annex 3 of the project document.

## EFFICIENT

|   |  |        |
|---|--|--------|
| <p>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include:</p> <p>i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available;</p> <p>ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions;</p> <p>iii) with joint operations (e.g., monitoring or procurement) with other partners.</p> | Yes (3) ✓  | No (1) |
|   | 15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?) |        |
|   | Yes (3) ✓  | No (1) |
| 16. Is the budget justified and supported by valid estimates?   | 3 ✓  | 2      |
|   | 1  |        |

|  |           |        |
|--|-----------|--------|
| <ul style="list-style-type: none"> <li>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. Costs are supported by 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.</li> <li>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. Costs are supported by valid estimates based on prevailing rates.</li> <li>1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.</li> </ul>   | EVIDENCE  |        |
| <p><b>Evidence</b> This project budget is specified in a multi-year work plan that provides valid estimates from funding/parallel funding and in-kind contributions, including the confirmed resources from Neixiang Government. Confirmed resources constitute 100% of the total budget. The project will be open for participation and financial contribution from other interested entities so as to magnify the project scope and its impacts</p>  |           |        |
| 17. Is the Country Office fully recovering the costs involved with project implementation?   | 3         | 2      |
| <ul style="list-style-type: none"> <li>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.)</li> <li>2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> <li>1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross subsidizing the project.</li> </ul>   | 1         |        |
| EVIDENCE Not applicable, ignored   |           |        |
| <b>EFFECTIVE</b>   |           |        |
| 18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):   | 3 ✓       | 2      |
| <ul style="list-style-type: none"> <li>3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (both must be true to select this option)</li> <li>2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.</li> <li>1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.</li> </ul>   | 1         |        |
| EVIDENCE   |           |        |
| <p><b>Evidence</b> The project is implemented by using the mode of national implementation modality (NIM) and will be directly implemented by CICETE. UNDP and CICETE have more than 30 years of experience in cooperation in the field of development in China and have established robust national implementation modes as well as its corresponding rules and regulations.</p>  |           |        |
| 19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?  | 3 ✓       | 2      |
| <ul style="list-style-type: none"> <li>3: Credible evidence that all targeted groups, prioritizing marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analyzed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.</li> <li>2: Some evidence that key targeted groups, prioritizing marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analyzed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.</li> <li>1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.</li> </ul> | 1         |        |
| EVIDENCE   |           |        |
| <p><b>Evidence</b> The project is designed with close consultation with the stakeholders at various levels. Through a series of interviews, consultations and high-level meetings with their high-level and insightful participation, their views, needs and constraints of them have been sufficiently reflected in the project design. The project will feature key activities to address the root causes to support their priorities in the fields of in the context of environment governance, environment sustainability, climate change and sustainable development.</p>   |           |        |
| 20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?  | Yes (3) ✓ | No (1) |
| <p><b>Evidence</b> Section VI Project Monitoring and Evaluation</p>  |           |        |
| 21. The gender marker for all project outputs is scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.   | Yes (3) ✓ | No (1) |
| EVIDENCE   |           |        |
| <p><b>Evidence</b> The gender perspective is one of the main goals of the project. To this end, all outputs have been assessed accordingly, in particular that the areas to address equalization of social services, policy development and enforcement to improve environmental sustainability, promote decent employment and improve livelihoods, climate change will be prioritized. Project design will help promote gender perspective in relevant areas. In addition, the project includes a "Women Development Fund" to increase the availability of local women's entrepreneurship funds, which will be implemented by the Neixiang County</p>   |           |        |

|   |                 |           |
|---|-----------------|-----------|
| Women's Federation.   |                 |           |
| 22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):<br><br><ul style="list-style-type: none"> <li>3: The project has a realistic work plan &amp; budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources.</li> <li>2: The project has a work plan &amp; budget covering the duration of the project at the output level.</li> <li>1: The project does not yet have a work plan &amp; budget covering the duration of the project</li> </ul>  | 3 ✓             | 2         |
|   | 1               |           |
|   | EVIDENCE        |           |
| <p><b>Evidence</b> The project has a realistic multi-year work plan and budget with specific information organized by outcomes and outputs (Section III). The project contains a complete monitoring and evaluation plan, with detailed activities listed (Section VI), including modalities for tracking results, managing risk, ensuring quality assurance, drafting of regular project reports, conducting project reviews and field trips. The evaluation activities include annual project reports, as well as mid-term and final evaluations.</p>   |                 |           |
| <b>SUSTAINABILITY &amp; NATIONAL OWNERSHIP</b>  |                 |           |
| <ul style="list-style-type: none"> <li>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</li> <li>3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>2: The project has been developed by UNDP in close consultation with national partners.</li> <li>1: The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul>  | 3               | 2         |
|   | 1✓              |           |
|   | EVIDENCE        |           |
| <p><b>Evidence</b> The project is a designed at county level in line with national and provincial policy priorities. The project will enhance local capacity in enforcement of national and provincial policies and results of the project will response national and provincial policy priorities.</p>   |                 |           |
| 24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):<br><br><ul style="list-style-type: none"> <li>3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. 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.</li> <li>2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen the capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. 2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.</li> <li>1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but</li> </ul> | 3 ✓             | 2.5       |
|   | 2               | 1.5       |
|   | 1               |           |
|   | EVIDENCE        |           |
| <p><b>Evidence</b> The project has conducted stakeholder's analysis and identified strengths and weakness of the primary stakeholders in the fields of environment and social economic development sectors, who will be directly involved in the project implementation. These include government agencies, grass root organizations and private sector business. To supplement the institutional analysis, policy process assessment and capacity assessment were also conducted that resulted in a comprehensive capacity building needs assessment. As results of these assessment, a policy strengthening component was designed to address environment, climate and development challenges for Neixiang County's environment, climate and sustainable development progress.</p>  |                 |           |
| 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<br>(3)<br>✓ | No<br>(1) |
| <p><b>Evidence</b> The project is implemented by using the mode of national implementation modality (NIM), and will be directly implemented by CICETE. UNDP and CICETE have more than 30 years of experience in cooperation in the field of development in China, and have established robust national implementation modes as well as its corresponding rules and regulations. This will provide an effective institutional guarantee for the smooth, effective and compliant implementation of the project, and will referential experience for Neixiang County to implement international cooperation projects. Based on the above analysis, the partnership of the project is solid and valid.</p>  |                 |           |
| 26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilization strategy)?   | Yes<br>(3)<br>✓ | No<br>(1) |
| <p><b>Evidence</b> The project is strategically designed to institutionalize and consolidate the imported approach and experiences of project implementation into the local policy making and development planning systems. Knowledge and best practices, sustainability and replication of project results, and project results dissemination are elaborated in Section 3.8, 3.9 and 3.10.</p>   |                 |           |



## ANNEX 2: SOCIAL AND ENVIRONMENTAL SCREENING

|  |   |              |   |  |
|--|---|--------------|---|--|
| Project Information  |   |              |   |  |
| 1. Project Title   | Poverty Alleviation and Sustainable Development Demonstration Project in Neixiang County, Henan Province  |              |   |  |
| 2. Project Number  | Award ID 00113583/Output ID: 00111673   |              |   |  |
| 3. Location (Global/Region/County)   | China Henan Province  |              |   |  |
| <b>Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability</b>  |   |              |   |  |
| <b>QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?</b>   |   |              |   |  |
| <b>Briefly describe in the space below how the Project mainstreams the human-rights based approach</b>   |   |              |   |  |
| The contribution of the project's focused areas to the protection of human rights is improved. The detailed design of all project activities will be designed in a participatory manner to ensure that local communities and local residents are effectively involved in the planning and decision-making process, paying attention to the interests of vulnerable groups and small farmers, and establishing effective information transparency and feedback mechanisms. The complaints mechanism is embedded in the project implementation management system to prevent potential adverse effects on human rights.   |   |              |   |  |
| <b>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</b>  |   |              |   |  |
| The project conducted gender analysis at instructional and community level by using semi-structured interview techniques. Gender issue has been mainstreamed into design of outcomes, outputs, detailed activities and project implementation and management. Gender analysis and expected results have been described in the section of theory of change and the results framework. A specific Women Development Fund has been designed under this project.   |   |              |   |  |
| <b>Briefly describe in the space below how the Project mainstreams environmental sustainability</b>  |   |              |   |  |
| The strategic goal of the project is to mainstream the SDGs in the development strategy of the Neixiang County, improve the local government's capacity to apply the SDG framework to guide resource planning, support the sustainable development of the social economy and the people's livelihoods in Neixiang County, "rural revitalization", promote the realization of "a moderately prosperous society", and share the experiences of sustainable development in Neixiang County at both the national and international levels. Key stakeholders, including government agencies, private sectors and local communities, were consulted during the project formulation, the project will continue engagement with them during the project implementation, monitoring and evaluation. Representatives of the key stakeholders will also participate in the Project Steering Committee to provide policy guidance and advices to ensure the direction of project implementation and substantive stakeholders' participation in the project implementation. |   |              |   |  |
| Improving environmental governance, enhancing environmental sustainability and strengthening adaptation to climate change are integral parts of the project's main objectives. It will integrate sustainable land use, landscape management, biodiversity conservation and climate change into development planning by strengthening environmentally relevant policy processes to improve capacity of adapting to climate change and improve policy processes and implementation of environmental governance. The "Country Complex" demonstration will provide examples of the results of planning and planning practices.   |   |              |   |  |
| <b>Part B. Identifying and Managing Social and Environmental Risks</b>   |   |              |   |  |
| <b>QUESTION 2: What are the Potential Social and Environmental Risks?</b><br>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.  | <b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b><br>Note: Respond to Questions 4 and 5 below before proceeding to Question 6 |              | <b>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)?</b> |  |
| Risk Description   | Impact and Probability(1-5)   | Significance | Comments  | Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is |

|   |                |                       |  |   |
|---|----------------|-----------------------|--|---|
|   |                |                       |  | required note that the assessment should consider all potential impacts and risks.  |
| Partners have some misunderstandings in the use of private-sector funds in the form of projects to influence policy reforms and adjustments in public policy. | P = 4<br>I = 2 | (Low, Moderate, High) |  | <ol style="list-style-type: none"> <li>1. Make full use of the project kick-off seminars, explain the project strategy and partnership to all partners, deepen understanding and eliminate misunderstandings;</li> <li>2. Observe the relevant principles of public policy, strengthen the monitoring of the use of funds and direction of the project, and publicize the positive role of public-private partnerships in promoting fair policies and private sector development.</li> </ol>  |
| Insufficient project resources and interest of various industry sectors' involvement, which in turn affects the achievement of expected results               | P = 2<br>I = 5 | Low                   |  | <ol style="list-style-type: none"> <li>1. Explore expanded partnerships, promote project cooperation mechanisms to county government level, ensure the inclusiveness and openness of the cooperation platform, and attract more resources, including the private sector, foundations and other civil society groups.</li> <li>2. Taking the strategic goals of the project as the guideline, gradually establish synergies with the main areas of the scientific and technological innovation funds and corporate R&amp;D funds, integrate resources, and jointly promote the development of related fields.</li> </ol> |
| The industry involved in the project is wide and the policy process is slow.  | P = 2<br>I = 5 | Low                   |  | <ol style="list-style-type: none"> <li>1. Optimize the functions of the Project Steering Committee and gradually establish collaboration and communication with the Municipal People's Congress Population and Environmental Protection Committee;</li> <li>2. Organize policy consultation meetings with relevant industries and departments to inform project results, understand policy processes, and strengthen coordination between project strategy and policy priorities and implementation</li> </ol>  |
| Project management capabilities are not strong enough, resulting in less expected achievement.  | P = 2<br>I = 5 | Low                   |  | <ol style="list-style-type: none"> <li>1. Continuous project management training for Project Management Office and Implementation Office;</li> <li>2. Optimize the functions of the Project Steering Committee, establish a project technical advisory committee, and strengthen the technical support of the project.</li> </ol>   |

|  |                |                          |  |  |
|--|----------------|--------------------------|--|--|
| Reputation risk to the UNDP if partners misuse of the project brand, and UN/UNDP brand and Logo for profit or other purposes | P = 3<br>I = 4 | Low                      |  | 1. Strictly conduct due diligence and control branding to mitigate potential risks;<br>2. Maintain regular communication and engagement with partners to ensure project implementation complies with all United Nations Development Programme rules. |
| <b>QUESTION 4: What is the overall Project risk categorization?</b>  |                |                          |  |  |
| Select one (see SESP for guidance)   |                |                          | Comments   |  |
| Low Risk   |                | <input type="checkbox"/> |  |  |
| Moderate Risk  |                |                          | Of 5 risks, 2 are rated “moderate”, 3 are rated “low”  |  |
| High Risk  |                | <input type="checkbox"/> |  |  |
| <b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>         |                |                          |  |  |
| Principle 1: Human Rights  |                | <input type="checkbox"/> |  |  |
| Principle 2: Gender Equality and Women’s Empowerment   |                |                          | Risk 2 will have negative implication to achievement of gender equality and women’s empowerment in the project                   |  |
| 1. Biodiversity Conservation and Natural Resource Management   |                |                          | Risk 2 will have negative implication to achievement of biodiversity conservation and natural resource management in the project |  |
| 2. Climate Change Mitigation and Adaptation  |                |                          | Risk 2 will have negative implication to achievement of climate change mitigation and adaptation in the project                  |  |
| 3. Community Health, Safety and Working Conditions   |                |                          | Risk 2 will have negative implication to achievement of community health, safety and working conditions in the project           |  |
| 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  |                |                          |  |  |

### Final Sign Off

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

## ANNEX 3: SOCIAL AND ENVIRONMENTAL RISK SCREENING CHECKLIST

| <b>Checklist Potential Social and Environmental Risks</b>  |                     |
|--|---------------------|
| <b>Principle 1: Human Rights</b>   | <b>Answer (Y/N)</b> |
| 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?   | N                   |
| 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?   | N                   |
| 3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?   | N                   |
| 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?  | N                   |
| 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?  | N                   |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights?   | N                   |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?   | N                   |
| 8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project affected communities and individuals?  | N                   |
| <b>Principle 2: Gender Equality and Women's Empowerment</b>  |                     |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?  | N                   |
| 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?   | N                   |
| 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?   | N                   |
| 4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? 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. | N                   |
| <b>Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below</b>   |                     |
| <b>Standard 1: Biodiversity Conservation and Natural Resource Management</b>   |                     |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes  | N                   |
| 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?  | N                   |
| 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)   | N                   |
| 1.4 Would Project activities pose risks to endangered species?   | N                   |
| 1.5 Would the Project pose a risk of introducing invasive alien species?   | N                   |
| 1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation?  | N                   |

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| 1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species?   | N |
| 1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? For example, construction of dams, reservoirs, river basin developments, groundwater extraction   | N |
| 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)  | N |
| 1.10 Would the Project generate potential adverse trans-boundary or global environmental concerns?  | N |
| 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? For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered. | N |
| <b>Standard 2: Climate Change Mitigation and Adaptation</b>   |   |
| 2.1 Will the proposed Project result in significant 12 greenhouse gas emissions or may exacerbate climate change?   | N |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change   | N |
| 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)? For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding   | N |
| <b>Standard 3: Community Health, Safety and Working Conditions</b>  |   |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?   | N |
| 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)?   | N |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?  | N |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)   | N |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, and erosion, flooding or extreme climatic conditions?   | N |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vectorborne diseases or communicable infections such as HIV/AIDS)?   | N |
| 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?   | N |
| 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)?  | N |
| 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)?   | N |
| <b>Standard 4: Cultural Heritage</b>  |   |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also   | N |

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| have inadvertent adverse impacts)   |   |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?  | N |
| <b>Standard 5: Displacement and Resettlement</b>  |   |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement?   | N |
| 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)?  | N |
| 5.3 Is there a risk that the Project would lead to forced evictions?  | N |
| 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?  | N |
| <b>Standard 6: Indigenous People</b>  |   |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)?   | N |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?  | N |
| 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)? 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. | N |
| 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?  | N |
| 6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?  | N |
| 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?   | N |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them?   | N |
| 6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples?  | N |
| 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?  | N |
| <b>Standard 7: Pollution Prevention and Resource Efficiency</b>   |   |
| 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 trans-boundary impacts?   | N |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and nonhazardous)?   | N |
| 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? For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol   | N |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?   | N |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?  | N |

**ANNEX 4: ATLAS RISK LOG**

| Project Title: Sustainable Development Demonstration Project in Neixiang County, Henan Province |   |                     |                   |   |   |       | Project Number:<br>Award ID<br>00113583/Output ID:<br>00111673 |             | Date:<br>20/August/2018 |  |
|---|---|---------------------|-------------------|---|---|-------|--|-------------|-------------------------|--|
| #   | Description   | Date Identified     | Type              | Impact, Probability and Risk Assessment | Countermeasures/ Management Response  | Owner | Submitted/ Updated by  | Last update | Status                  |  |
| 1   | Partners have some misunderstandings in the use of private-sector funds in the form of projects to influence policy reforms and adjustments in public policy. | 10/M<br>AY/2<br>018 | Political Risk    | P = 4<br>I = 2                          | 1. Make full use of the project kick-off seminars, explain the project strategy and partnership to all partners, deepen understanding and eliminate misunderstandings;<br>2. Observe the relevant principles of public policy, strengthen the monitoring of the use of funds and direction of the project, and publicize the positive role of public-private partnerships in promoting fair policies and private sector development.  |       | Project Manager  |             | <i>Initial</i>          |  |
| 2   | Insufficient project resources and interest of various industry sectors' involvement, which in turn affects the achievement of expected results               | 10/M<br>AY/2<br>018 | Implementing Risk | P = 2<br>I = 5                          | 1. Explore expanded partnerships, promote project cooperation mechanisms to county government level, ensure the inclusiveness and openness of the cooperation platform, and attract more resources, including the private sector, foundations and other civil society groups.<br>2. Taking the strategic goals of the project as the guideline, gradually establish synergies with the main areas of the scientific and technological innovation funds and corporate R&D funds, integrate resources, and jointly promote the development of related fields. |       | Project Manager  |             | <i>Initial</i>          |  |
| 3   | The industry involved in the project is wide and the policy process is slow.  | 10/M<br>AY/2<br>018 | Policy Risk       | P = 2<br>I = 5                          | 1. Optimize the functions of the Project Steering Committee and gradually establish collaboration and communication with the Municipal People's Congress Population and Environmental Protection Committee;<br>2. Organize policy consultation meetings with relevant   |       | Project Manager  |             | <i>Initial</i>          |  |

|   |  |                     |                   |                |   |  |                 |  |                |
|---|--|---------------------|-------------------|----------------|---|--|-----------------|--|----------------|
|   |  |                     |                   |                | industries and departments to inform project results, understand policy processes, and strengthen coordination between project strategy and policy priorities and implementation  |  |                 |  |                |
| 4 | Project management capabilities are not strong enough, resulting in less expected achievement.                               | 10/M<br>AY/2<br>018 | Implementing risk | P = 2<br>I = 5 | 1. Continuous project management training for Project Management Office and Implementation Office;<br>2. Optimize the functions of the Project Steering Committee, establish a project technical advisory committee, and strengthen the technical support of the project. |  | Project Manager |  | <i>Initial</i> |
| 5 | Reputation risk to the UNDP if partners misuse of the project brand, and UN/UNDP brand and Logo for profit or other purposes | 10/M<br>AY/2<br>018 | Implementing risk | P = 3<br>I = 4 | 1. Strictly conduct due diligence and control branding to mitigate potential risks;<br>2. Maintain regular communication and engagement with partners to ensure project implementation complies with all United Nations Development Programme rules.                      |  | Project Manager |  | <i>Initial</i> |



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## **ANNEX 5: CAPACITY ASSESSMENTS**

The project conducted a fast assessment on sustainable development related fields in Neixiang, including understanding and implementation capacity of SDGs and its framework.

In general, the lack of systematic capabilities (integrated policy and planning capabilities, technical capabilities, financial resources and applicable solutions, and etc.) is the main development challenge for achieving sustainable development in Neixiang. The project aims to strengthen capacity in related fields through technical assistance in the above areas, related research, design and implementation of demonstration activities, and enhanced knowledge sharing. The project will also explore the role of public-private partnerships in promoting the economic transformation of county-level economy.

During the start-up phase of the project, a systematic assessment of the capabilities of the relevant industries and sectors involved in the partnership will be processed.

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## **ANNEX 6: RESPONSIBILITIES AND MECHANISM OF PROJECT STEERING COMMITTEE**

The Project Steering Committee supervises the progress of project implementation, provides strategic and policy guidance, and is responsible for reviewing the annual work plan and budget. The Project Steering Committee performs duties by holding Project Steering Committee Meetings (regular meetings and ad hoc meetings) and assigning members to participate in project inspections.

The Project Steering Committee is the main decision-making institution for project implementation and management. The Project Steering Committee will review the project progress and make recommendations, approve the annual work plan and budget, and submit it to CICETE and UNDP for approval, and make decisions on important issues related to project implementation and management such as quality assurance of annual report and other mandatory reports.

### **1、 Responsibilities of Project Steering Committee**

The specific responsibilities of Project Steering Committee include: 1) supervising the achievement of project results and performance (monitoring and evaluation); 2) doing annual inspection, assessing the progress; 3) approving the project's annual work plan and budget and submitting to CICETE and UNDP; 4) approving project revision; 5) validating the main results of the project; 6) reviewing the final results report submitted by project experts and consultants; 7) coordinating the internal and external relationships, solving the major problems in the implementation process; 8) ensuring coordination among partners; 9) performing comprehensive evaluation.

### **2、 Project Steering Committee Chairman and Composition**

The Project Steering Committee will be composed of representatives from the following organizations: UNDP, CICETE, leading and coordinating department of the Neixiang Principle Government.

The supporting department for the Project Management Office in Neixiang will act as the leading and coordinating department as well as the secretary unit of the Project Steering Committee.

### **3、 Working Mechanism**

The Project Steering Committee will meet annually. The meeting will review the progress of the project and approve the work plan and major results. If members of the Project Steering Committee cannot attend, they may express their opinions on major issues to be considered through other means, such as e-mail, WeChat and telephone.

The Project Steering Committee will make decisions on the issues under consideration in the principle of "Unanimous Consent." If no agreement is made after full consultation, taking the responsibilities of UNDP and CICETE'S into account, UNDP and CICETE will make the final decision on the issues to be considered according to the general principles of NIM. Minutes of the Project Steering Committee's meetings should be formed. The minutes of the meeting will be the official decision-making documents of the Project Steering Committee after signing by all members of the Project Steering Committee.

#### **4、 Others**

The NIM Project Director is responsible for the daily management. The Director performs his duties in accordance with the terms of his duties with the assistance of Director of Project Management Office. The Director is responsible for the preparation of the Project Steering Committee Meeting. Any member of the Project Steering Committee has the right to request a temporary meeting on a specific topic. If there is a request for a temporary meeting of the Project Steering Committee, it is necessary to communicate with the Project Management Office timely.

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**ANNEX 7: TERMS OF REFERENCE FOR NATIONAL (NIM) PROJECT DIRECTOR**

**Location: Neixiang County Project Management Office.**

**Duration: Part-time, 15 months in total.**

The NIM Project Director will be responsible for Project Steering Committee and will be responsible for leading the daily work of the Project Management Office. The NIM Project Director will be the key person being accountable of the project implementation and will ensure all funds promised by partners be credited into account in time. The National Project Director will also be responsible for policy support and the coordination and communication among all relevant departments.

**Evaluation Criteria:**

1. Minimum ten years' experience of technological or management working in economic development planning, finance, environment protection fields.
2. Experience of working in government departments. Solid understanding of governmental decision and policy-making processing. Experience of leading comprehensive planning and interdisciplinary project implementation and management.
3. Served as senior leader in comprehensive planning, natural resources management or environment protection departments.
4. Capacity of leading and cultivating interdisciplinary team.

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**ANNEX 8: TERMS OF REFERENCE FOR DIRECTOR OF PROJECT MANAGEMENT OFFICE**

**Location: Project Management Office in Neixiang.**

**Duration: Part-time, 15 months in total.**

The Director of Project Management Office in Neixiang County will be responsible for the implementation of the project. The director will facilitate the Director of NIM project and on behalf of the Project Management Office to sign the project semi-annual report, annual report, financial report, work plan and various documents submitted in accordance with management requirements. When the NIM project director is absent, the director will fully exercise the duties of the NIM project director.

**Responsibilities:**

1. Assisting the implementation of project activities and coordination with partners; when the NIM project director is absent, participating in the project steering committee meeting and represent the project at the meeting; conducting daily discussions with the project manager and experts on project implementation;
2. Ensuring that the project is implemented in accordance with established policies and implementation procedures, plan project activities in advance and provide the required allocation of funds, personnel and equipment in a timely manner for project implementation;
3. Be responsible for the formulation of the project's annual and quarterly work plans and apply for project funding in accordance with the procedures of UNDP and CICETE.
4. Promoting efficient collaboration between the Project Management Office, and key project partners, and communicating formally and informally as needed.
5. Be responsible for the expenditure of received project funds and submit financial reports as required.
6. Reviewing technical, financial, and work report of the project prior to release, circulation, or submission; that work plans are performed timely, and the process of project monitoring and evaluation is comprehensive and effective.

**Evaluation Criteria:**

1. Minimum ten years' technological or management working experience in local economic development planning, finance, mineral resources and environment protection fields.
2. Experience of working in government departments. Solid understanding of governmental decision and policy making processing. Experience of leading comprehensive planning and interdisciplinary project implementation and management.
3. Served as senior leader in comprehensive planning, natural resources management or environment protection departments.
4. Experience of managing international cooperation project, familiar with the process and requirement of managing and report writing of International cooperation projects.
5. Capacity of team establishing and fostering and teamwork.

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**ANNEX 9: TERMS OF REFERENCE FOR TECHNICAL ADVISOR**

**Location: Neixiang Project Management Office.**

**Duration: 6 Months.**

The Technical Advisor will be under the supervision of the National Project Director, and will mainly be responsible for providing technical suggestion, making work plan, reviewing quality of project output, directing the project evaluation and report drafting works.

1. Providing technical guidance and suggestions about SDGs, rural and agricultural development, inclusive finance, gender equality, environment protection, climate change, low carbon development, green finance, capacity building and project implementation and management to staffs and partners.
2. Providing technical guidance for capacity building training course designing. Attending workshops and different level policy and technical meeting.
3. Assisting project work plan and process report drafting work as the major technical responsible person.
4. Assisting project manager to draft different kinds of technical report during each phase of project implementation.
5. Promoting cooperation between Project Management Office and partners. Formally or informally communicating with them when necessary.
6. Leading and attending implementation of policy planning projects.

**Requirement:**

1. Master degree, major in ecology, environmental science, economics, finance, sociology or other relevant majors.
2. Minimum seven years working experience, having working experience in resource-based cities, especially coal-based cities is a plus.
3. Proficiency in English writing, presentation and communication.

**Evaluation Criteria:**

1. Experience of project designing, implementation and management, especially direct management experience.
2. Experiences in technical policy making.
3. Solid professional skills.
4. Strong capacity of building and maintaining strategic cooperation relations.
5. Outstanding capacity of coordination.
6. Capacity of creation and working individually.
7. Comprehensive IT skills.
8. Understanding management policy and procedure of UNDP and other international organizations

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**ANNEX 10: TERMS OF REFERENCE FOR PROJECT MANAGER**

**Location: Neixiang Project Management Office.**

**Duration: 36 Months.**

The Project Manager will be under the leadership and supervision of The National Project Director, and will be responsible for:

1. Assisting the Director of Neixiang PMO, coordinating action plans and implementation of project activities.
2. Cooperating closely with all parties to ensure the coordination of project partners in the technical direction of the project.
3. Ensuring the project information be shared with all stakeholders in open and transparent approach.
4. Coordinating and developing detailed annual work plans for project implementation, making them conform to the project's expected results and outputs.
5. Managing the project budget under the leadership of the Director and ensuring all project implementers submit financial reports in time.
6. Participating in the recruitment of project staffs, subcontract service providers and expert consultants, and be responsible for performance management of staffs, to ensure the project's quality assurance system is timely and effective.
7. Assisting in procurement and maintenance of project equipment.
8. Monitoring and ensuring partners timely draft and submit quarterly and annual reports, work plans, budget and financial reports timely.
9. Maintaining regular communication with government departments and partners.
10. Being responsible for projects monitoring and evaluation, assisting in internal and external assessments, sharing experiences and lessons learned from project implementation among partners.
11. Providing technical support for resources mobilization and development of new partnerships.

**Requirement:**

1. Bachelor degree (master degree is an advantage), majoring in environment, mineral resources, forestry, environmental economics, project management or other relevant majors.
2. Chinese as first language, and English skill should be at professional level.

**Evaluation Criteria:**

1. Capacity of organization, having project planning and implementation management experience in non-governmental organizations, bilateral or multilateral international organizations.
2. Understanding laws and policy priority national and Inner Mongolia provincial about resource-based city transformation, mining management, climate change, low carbon development, environmental governance, and ecological compensation. Being familiar with the process of formulating government policies.
3. Strong influence and interpersonal skills.

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**ANNEX 11: TERMS OF REFERENCE FOR COORDINATION OFFICER (UN VOLUNTEER)**

**Location: Neixiang Project Management Office.**

**Duration: 36 months.**

The Project Coordination Officer will be under the direct guidance and supervision of the Project Manager of the Project Management Office, and will be responsible for:

1. Preparing and maintaining technical documentation, including milestone reports, technical reports, policy reports, and final deliverable Outcome Report.
2. Examining documents and validate data integrity and accuracy and resolve differences between expert mission outline and actual deliverable.
3. Maintaining electronic document management systems and hard copy documents to ensure that electronic documents meet the required standards.
4. Analyzing the policy environment and maintaining the consistency between project achievements and policies.
5. Instructing and managing experts being responsible for policy consulting tasks.
6. Promotion and advocacy of the outcomes of this project.

**Requirement:**

1. Bachelor degree (master degree is an advantage), majoring in environment, mineral resources, forestry, environmental economics, project management or other relevant majors.
2. Native Chinese speaker, and professional English, especially report writing skill.

**Evaluation Criteria:**

1. Knowledge management, publicity and policy advocacy experience in non-governmental organizations, bilateral or multilateral international organizations.
2. Understanding the principles of knowledge management, being familiar with the laws and regulations of information data management and be sensitive to information transparency and intellectual property management.
3. Hands on experience in using traditional and social media to promote sustainable development information;
4. Having rich media resources, as well as experience in planning and implementing environmental education, public awareness of environmental protection, policy advocacy activities and roadshows activities.
5. Strong influence and interpersonal skills.