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**PROJECT DOCUMENT**

**CHINA**

**Project Title:** Promoting Integrated Disaster Risk Reduction and Climate Change Adaptation in Central Asia Project (Phase II)

**Project Number:** 00094618

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

**Start Date:** April 2018

**End Date:** December 2019

**PAC Meeting date:** February 2018

**Brief Description**

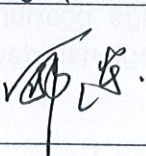
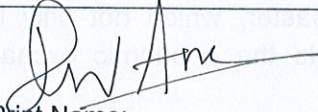
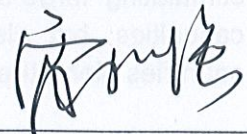
With the rapid global climate change in the past decades, various extreme climate events have frequently caused natural disasters in Central Asia with accelerating intensity. This has caused significant economic losses and casualties in countries within this region, and has also impacted the development of countries along the Silk Road.

The government of China and United Nations Development Programme (UNDP) have both accumulated rich professional knowledge and experience in disaster prevention and mitigation. The government of China has been continuously promoting international cooperation in regional disaster prevention and mitigation. UNDP China has also developed various regional cooperation in risk management based on own capacity and resources, actively implemented *Sendai Framework for Disaster Risk Reduction 2015-2030*, and striven to promote sustainable development further.

The main project partners including China International Center for Economic and Technical Exchange (CICETE), Xinjiang Institute of Ecology and Geography (XIEG) of the Chinese Academy of Sciences (CAS), UNDP etc. have established good partnership by years of project collaboration. This project will aim at the major demand of the five countries along Silk Road Economic Belt in Central Asia on flood and drought monitor and evaluation, and take the Belt and Road Initiative (BRI) as an opportunity, to strengthen international scientific and technological cooperation and exchange in disaster prevention and mitigation, create Central Asia flood and drought risk map, establish Sarez Lake flood risk warning demonstration, carry out Central Asia flood and drought disaster prevention and control technical training and knowledge sharing, build up multi-national risk prevention and control coordination mechanism, and serve for BRI infrastructure construction and Central Asia disaster mitigation scientific and technological cooperation.

Contributing Outcome (UNDAF/CPD, RPD or GPD): Outcome 2. More people enjoy a cleaner, healthier environment as a result of improved environmental protection and sustainable green growth.  Indicative Output(s) with gender marker <sup>2</sup> : Output 1: GEN1 Output 2: GEN1 Output 3: GEN1	<b>Total resources required:</b>	USD 488,000	
	<b>Total resources allocated:</b>	USD 488,000	
		<b>UNDP TRAC:</b>	38,000
		<b>Parallel:</b>	450,000
		<b>Government:</b>	-
	<b>In-Kind:</b>	-	
	<b>Unfunded:</b>	-	

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

China International Center for Economic and Technical Exchange (CICETE)	United Nations Development Programme (UNDP)	Xinjiang Institute of Ecology and Geography (XIEG) of the Chinese Academy of Sciences
Print Name: 	Print Name: 	Print Name: 
Date: _____	Date: 2018.4.18	Date: 2018.4.17

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

<sup>2</sup> The Gender Marker measures how much a project invests in gender equality and women's empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)



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## I. DEVELOPMENT CHALLENGE

In most area of the world, extreme climate and extreme climate events triggered by climate warming present an increasing frequency and intensity. As a result, the number of disasters in the mountainous areas and oasis desert regions in Central Asia is aggravating, with the significant effect of disaster chains, growing scope of harm, and increasing disaster losses. The fragile ecological environment in Central Asia is highly sensitive to climate change, which has caused a serious security threat to the countries and regions along the Silk Road. In the mountains of Central Asia, glaciers, snow, and extreme precipitation are all elements that cause sudden floods, and the special topography and complex geological structures are the key factors causing disaster. Since the early 20th century, the temperature in Central Asia has risen steadily with the precipitation decreasing in the west and increasing in the east. The warm and humid climate change has caused strong impact on the fragile mountainous-desert-oasis ecosystems in Xinjiang and Central Asia. The significant increase of mountain temperature has led to unusually active glaciers activity and growing snowmelt, resulting in the current situation that glacial lake crashes, glacial mudflow and snow ice flood disaster are heading to high incidence and acceleration. The frequency of sudden flood in the Karakorum and Western Tianshan glacial lakes has risen sharply by 30% in the last 20 years, with a considerable increase in peak flow and flooding. In the meantime, the increase in precipitation and its uneven distribution in mountainous areas bring about the arising frequency of heavy snowstorms in winter and rainstorm in summer, and it is therefore easy to form sudden flood in mountainous areas and secondary disasters such as ice-lake ruins, landslides and mudflows.

In Tajikistan, landslides and mudslides cause more than 50,000 landslides and mudflows each year due to precipitation and melting of ice and snow; at least 3,500 landslides and mudflows in Uzbekistan occur in the densely populated Fergana Basin each year, causing more than USD 80 million losses each year; In Kazakhstan, the landslides and mudflows caused by flood are also serious. More than 800 mudflows recorded over the past 150 years, mostly caused by heavy rainfall and sudden flood and threatening the southeast Mountainous area which covers 13% of the country, involving 26% of the population. Xinjiang and the five countries in Central Asia belong to the arid oasis agricultural areas, with increased frequency of drought caused by climate warming. Moreover, agricultural drought or frost damage caused by extreme climate events often results in a large-scale agricultural reduction or extinction. In the past two decades, the frequency of droughts in the short-term crop growing season has also been on the rise. In particularly, the severe drought in 2000 caused the dryland wheat extinction in Tajikistan and food production reduction in 200,000 farms in Uzbekistan, which not only resulted in hundreds of millions dollar economic loss but also brought about many uncertainties in social stability. The exacerbation of extreme climate events caused by climate change has become a key factor in aggravating and stimulating large-scale geological disaster, which not only leads to huge economic loss and casualties, but also negatively affects the economic exchange and regional development of countries along the Silk Road.

Flood disaster is characterized by suddenness, short duration and great harm, so that flood disaster could be prevented or controlled effectively by timely, rapid and accurate knowledge of the flood situation. The drought disaster controlled by climate change often has the characteristics of long duration and wide range. Therefore, monitor and early warning of flood and drought disaster mainly rely on various techniques to carry out comprehensive monitor and disaster assessment to support disaster prevention and mitigation, including meteorological satellites, ground meteorological data, ground environment monitor and remote sensing monitor. At present, China has established a disaster monitor system based on remote sensing technology with meteorological satellites, high-resolution remote sensing technology and Beidou navigation



technology. Besides, based on snowmelt runoff model, flood forecasting system, crop growth phenology and other models, China has performed dynamic simulation of disaster space-time characteristics and process, synthetically applied high resolution remote sensing, long time series disaster dynamic monitoring, three-dimensional imaging technology and disaster dynamics model to realize the dynamic monitor of disaster causes, evolution process and hazards, carried out disaster early warning and decision-making application, and expanded the extent and depth of remote sensing application.

However, in the relatively poor-researched areas of Xinjiang and Central Asia, remote sensing-based disaster monitor system is still incomplete, and professionals and technical reserves in disaster remote sensing are still lacking. Under the condition of climate change and human activities, to improve the comprehensive disaster prevention and mitigation standard of countries along the Silk Road, as well as promote the overseas application of Beidou system and Chinese high-resolution remote sensing, it is important to develop air-sky-land disaster monitor and early warning technology and models for flood and drought, make the most of the effectiveness of satellites, improve the level of disaster contingency monitor, emergency response and precise assessment, and carry out technical training and dissemination in disaster risk assessment.

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## II. STRATEGY

Through conducting disaster risk research of flood and drought in Central Asia along the Silk Road Economic Belt, this project plans to solve the following problems:

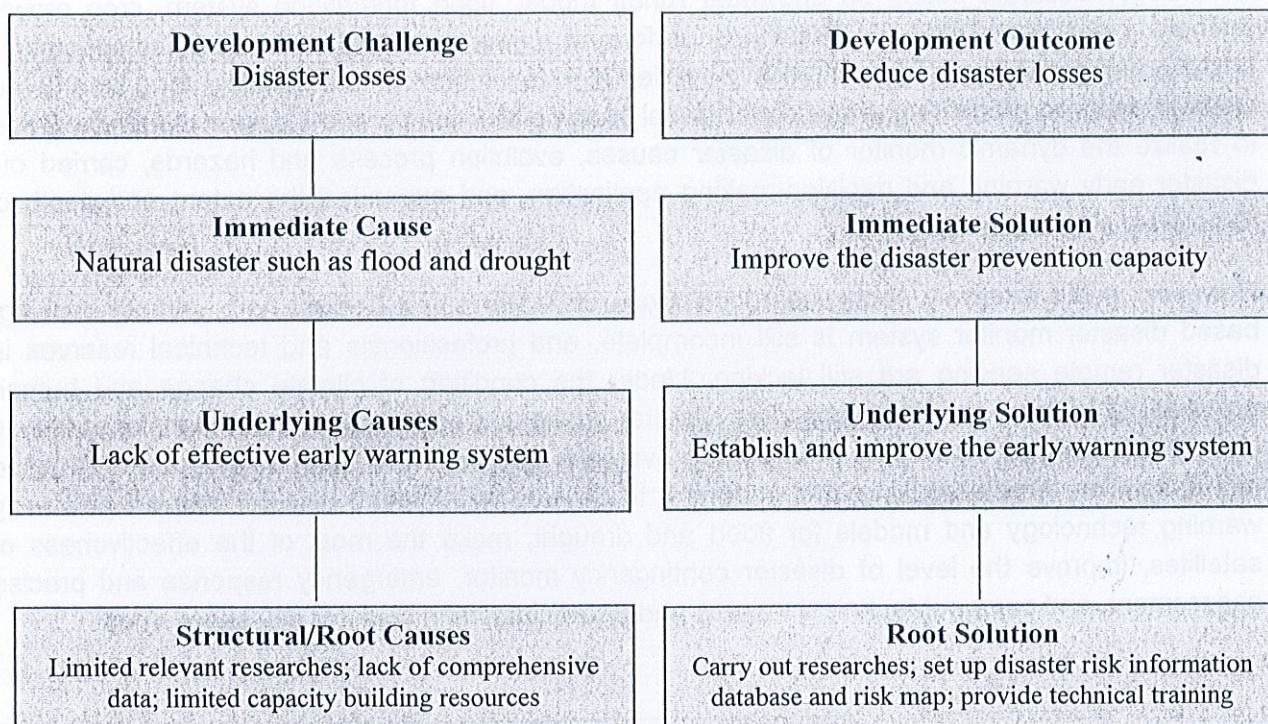
- Time-space distribution of flood and drought along BRI  
Integrate technical personnel in Central Asia to study the regional time-space distribution of mountain flood and oasis drought, and create flood and drought risk map, through information collection, remote investigation and targeted research on disaster-affected areas.
- Technical training and knowledge sharing of disaster prevention and mitigation along BRI  
Cooperate with countries along BRI to launch flood and drought data sharing, technical training and knowledge sharing.

Joint researches are as following:

- Central Asia flood and drought history information and disaster databases conduction  
Using remote sensing, site observation, international cooperation and digitization technologies, develop risk database of flood and farmland drought in mountainous areas of Central Asia.
- Create flood and drought risk map for Central Asia and disaster risk assessment for Sarez Lake  
Create mountain flood risk map of Kyrgyzstan and Tajikistan as well as the drought risk map of Kazakhstan, with the focus on the assessment of major flood and dam-break hazards in Sarez Lake.
- Organize technical training, knowledge sharing and experiment demonstration of comprehensive flood and drought risk prevention  
Carry out disaster prevention and mitigation technical training and knowledge sharing.

**Cause Analysis of Disaster Losses and Development Approaches to Climate Change Adaptation and Disaster Risk Reduction through Early Warning System Establishment:**





### III. RESULTS AND PARTNERSHIPS

#### **Expected Results**

- Submit the Central Asia flood and drought information database
- Submit the Central Asia flood and drought risk map
- Submit the Sarez Lake dam-break risk assessment report
- Carry out disaster risk assessment technical training
- Carry out knowledge sharing of BRI disaster risk prevention and control
- Organize international academic conferences
- Publish high-quality academic articles

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

Main inputs required to deliver the envisaged key changes include:

- Financial resource  
The project has successfully mobilised a total of USD 488,000 for the current scale of the project to support the project activities from 2018 to 2019 as indicated in the multi-year work plan, assuring the smooth implementation of the project and its sustainable resources.
- Human resource  
The project features a professional research team which offers comprehensive technical support for project implementation. Scientific research capacity, effective communication, expertise and technologies as well as project coordination capacity are crucial for the successful implementation and sustainability of the project.
- Material resource  
The established DRR/CCA research center, joint laboratory and information platform will provide material resources for the project, such as avenue and equipment etc.



## ***Partnerships***

### The Xinjiang Institute of Ecology and Geography (XIEG) of the Chinese Academy of Sciences

The Xinjiang Institute of Ecology and Geography (XIEG) of the Chinese Academy of Sciences (CAS) was established on 7th July 1998 through the merger of the Xinjiang Institute of Geography (founded in 1961) and the Xinjiang Institute of Biology, Pedology and Desert Research of CAS (founded in 1965). XIEG has built the Key Laboratory of Oasis Ecology and Desert Environment of CAS, National Engineering Technology Research Center for Desert-Oasis Ecological Construction, Key Laboratory of Biogeography and Bioresource in Arid Land of CAS, Xinjiang Mineral Resource Research Center of CAS, The Research Center for Ecology and Environment of Central Asia (RCEECA), Xinjiang Tourism research institutes and other research platform. There have been 11 observation sites (including 3 national sites) built in China and 15 built jointly with Central Asia countries.

Apart from national research platform, XIEG has established various international collaboration platform, such as Almaty sub-center, Bishkek sub-center and Dushanbe sub-center of RCEECA (the three research units have independent legal entity) jointly with Central Asia institutes and universities in ecology and environment area, International Center For Arid Land Ecology jointly with University of California – Riverside, China-Japan Arid Land Ecology Research Center jointly with Shizuoka University, China-Germany Arid Land Ecology System Management and Environment Change Joint Center jointly with Technical University of Munich, East Africa Natural Resource and Environment Research Center jointly with University of Lay Adventists of Kigali, China-Belgium Geographic Information Joint Laboratory jointly with Ghent University.

The strategic positioning of XIEG is aiming at facing the frontier of science and technology in the international arid land, the major needs of national western development and BRI construction, based on the ecological restoration of Xinjiang and Central Asia resource development, environmental governance and conservation of biodiversity, to enter the forefront of development in the fields of ecology and environment, mineral resource and modern agriculture, and form a number of high-level scientific and technological innovation platforms and achievements transformation bases, and realize the overall step forward of the institute. XIEG has been playing a leading and exemplary role in the science and technology work in Xinjiang and Central Asia, and making a significant contribution to the stability and development of Xinjiang and ecological security in China.

Since the establishment, XIEG has obtained 327 awards for various kinds of achievements above the provincial level, including 2 UNEP awards, 35 national awards and 282 provincial departmental awards. By the end of 2016, there are a total of 539 employees on board, including 339 scientific and technological personnel, 157 support staff, 43 management personnel. There are 94 researchers and senior engineering technicians and 83 associate researcher and deputy senior engineering technicians. 14 people have been selected into the "Thousand Talents Program", and 12 have been selected into the "Youth Thousand Talents Program". In addition, 18 people have been chosen into the "Hundred Talents Program" of CAS.

XIEG will establish the project management office (PMO), be responsible for project operation and also provide technical support for project activity implementation and development. XIEG will lead to coordinate project collaborative partners, organize relevant activities, monitor and manage the project implementation.

### The Research Center for Ecology and Environment of Central Asia (RCEECA)



RCEECA mainly relies on the base of XIEG and cooperates with 9 relevant research institutes including Institute of Mountain Hazards and Environment of CAS, Institute of Remote Sensing and Cold and Arid Regions Environmental and Engineering Research Institute etc. RCEECA was jointly established with Institute of Soil and Agricultural Chemistry of Kazakhstan, Institute of Water Problems and Geology of Kyrgyz Academy of Sciences and Institute of Geology and Plant Research of Tajikistan Academy of Sciences and has been an important part of the "Cooperation and Extension Project of Scientific Teaching in Developing Countries". Addressing the major needs of resource, ecology, environment and informatization in Central Asia for the Shanghai Cooperation Organization and BRI construction, RCEECA carries out collaborative research of natural resource development in China and Central Asia countries, ecological environment protection and earth observation information technique, and establish overseas research platform including sub-centers in Kazakhstan, Kyrgyzstan and Tajikistan. RCEECA will act as collaborative partner of XIEG and be responsible of specific project activity implementation.

#### China International Center for Economic and Technical Exchange (CICETE)

CICETE is appointed by the Ministry of Commerce as the coordinating agency and implementing partner of UNDP's projects in China. It has over 30 years' experience of managing UNDP's projects, and has organized and implemented nearly thousand projects successfully in development areas. CICETE will sign the project document as the representative of the Government of China and work together with UNDP to monitor project implementation and ensure overall project oversight and quality assurance.

#### United Nations Development Programme (UNDP)

UNDP has offices in more than 170 countries and regions all around the world. It has abundant international networks and expert resources. UNDP set its office in China in 1979, and more than 900 projects have been successfully implemented in China, promoting sustainable development of China. In the meantime, under the framework of South-South Cooperation, UNDP has developed extensive international cooperation and accumulated abundant experience.

#### **Risks and Assumptions**

<b>Risk Type</b>	<b>Description</b>	<b>Mitigation Measures</b>	<b>Status</b>
Physical /environmental	Activities of this project will be mainly carried out in Central Asia countries. The location of RCEECA may be affected by natural disasters. The activity implementation may also be affected.	To reduce the impact of such risks, project management office and project implementing partner will conduct risk assessment and emergency response preparation accordingly and conduct field visit if necessary.	To be factored into program formulation and monitored via regular meetings.
Financial	Adequate funding for sustainability and scaling-up of the project.	Specific needs and allocation of funding will be discussed annually depending availability and confirmation upon mutual agreement between UNDP and project partners.	To be factored into project implementation and monitored via regular meetings.

#### **Stakeholder Engagement**



The project includes multiple stakeholders, including practitioners in the field of ecological environment and disaster risk management, academic institutions, government and the general public. The expected output of the project will be developed and considered in terms of the expected number of beneficiaries, demand, risk expectations and stakeholders of the project. Through the establishment of a joint office and multi-stakeholder implementation mechanisms involved in the project, the opinions of different parties are formulated and absorbed into the project. The participation and capacity of gender and vulnerable groups in the project will also be emphasized to ensure the equality and coordination and form multi-agent decision making and management mechanism. The target group will participate in the project design, implementation and monitor and evaluation work of the project through formal and informal consultation, seminar and exchange activities.

### ***South-South and Triangular Cooperation (SSC/TrC)***

UNDP has long-term partnership with the Government of China in disaster management. Over the past few years, UNDP China has carried out several disaster prevention and mitigation projects in Xinjiang, covering various aspects including drought, flood and climate change etc., and has built up great partnership with many countries in Central Asia, such as Kazakhstan, Tajikistan, Kyrgyzstan, Uzbekistan and Turkmenistan through multiple cooperation.

On the basis of previous cooperation, UNDP has been committed to expanding the scope and impact of South-South cooperation and further sharing experiences with other developing countries on DRR/CCA. The three years of project phase I from 2015 to 2017 has significantly facilitated the stable knowledge sharing among China and Central Asia countries, promoted public awareness of disaster prevention and improved policies and action plans for natural disaster reduction and climate change adaptation capacity building.

### ***Knowledge***

During the implementation of the project, 2 to 3 high-level articles will be published, the entire Central Asia flood and drought risk map and database system will be released, and a risk assessment report on the dam-break of the Sarez Lake will be prepared. Through article publication and the submission of the assessment report, it can provide scientific and technological support for the decision makers of the countries along BRI.

### ***Sustainability and Scaling Up***

Based on the good partnership established from project phase I, this project will further strengthen multi-party cooperation and employ innovative methods of demand-oriented project design and resource mobilization, make full use of existing resources from government, academic institutions and UNDP, actively coordinate all parties to ensure the sustainable development of the project.

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## **IV. PROJECT MANAGEMENT**

### ***Cost Efficiency and Effectiveness***

Both the Government of China and UNDP have gained considerable expertise and experience in the field of risk management. The project will make full use of existing resources (including personnel, equipment, research, achievement etc. from phase I) to ensure to achieve the value of project fund and cost efficiency. With the goal of bringing the project results to fruition within a short period of time, the project will fully use current capacity to enhance efficiency and



effectiveness based on existing financial, personnel and material resources. UNDP China will coordinate with global or regional agencies and other country office to support the project collaboration, dissemination and successful implementation if necessary.

Currently, UNDP China has submitted the application to Ministry of Commerce for the South-South Fund project of strengthening disaster prevention and mitigation monitor system in Central Asia along the Belt and Road. If the application is approved, the project will be coordinated in the framework so that the utilization of existing resource will be maximized and cost efficiency will be enhanced. In addition, UNDP China has conducted initial communication with the country office of relevant Central Asia countries and will jointly coordinate the integration of project activities to achieve resource sharing, and further expand the project impact.

### **Project Management**

This project is nationally executed (NEX), in line with the Standard Basic Assistance Agreement (SBAA) between UNDP and the Government of China, and in this regard CICETE is the Implementing Partner (IP). XIEG will establish the project management office (PMO) and RCEECA is XIEG's collaborating agency. The project will be implemented in Kazakhstan, Tajikistan, Kyrgyzstan and Uzbekistan, with the PMO based on XIEG.

To facilitate and intensify the cooperation between UNDP and the Government of China in project level in line with new development strategy of the Government of China, UNDP and CICETE have committed to exploring new project implementation plan. UNDP and CICETE agreed to start piloting a new methodology of 'parallel financing' from 2015 in a letter on 6<sup>th</sup> February 2015 followed by a meeting on 12<sup>th</sup> March 2015.

The project will use parallel financing modality and the project management regulations are in accordance with the *Amendment for Parallel Financing to NEX Manual*. Day-to-day funds management for project activities including financial management and annual audits will be handled by the Project Management Office (PMO) located in and hosted by XIEG. XIEG will be fully responsible for using, managing and monitoring the parallel fund.

UNDP and CICETE will evaluate and guide the project results. The monitoring and evaluation will not cover the parallel fund. UNDP and CICETE will be exempted from liability for any disputes and legal proceedings that may occur in parallel funds management.

UNDP and CICETE will collectively charge a minimum fee of 6% of the total amount of the project budget. The project management fee will be charged annually based on approved annual work plan in accordance to the multi-year budget in the Project Document.



## V. RESULTS FRAMEWORK<sup>2</sup>

<b>Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:</b> More people enjoy a cleaner, healthier environment as a result of improved environmental protection and sustainable green growth.								
<b>Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:</b> <u>Indicator 2.4.1:</u> Number of early warning systems for major natural hazards (e.g., geophysical and climate-induced hazards) and man-made crisis. <u>Indicator 2.4.2:</u> Percentage of people at risk of major natural hazards and man-made crisis that are covered by multi-hazard preparedness plans.								
<b>Applicable Output(s) from the UNDP Strategic Plan:</b> 2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated and gender-responsive solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent risk of conflict.								
<b>Project title and Atlas Project Number:</b> 00094618 Promoting Integrated Disaster Risk Reduction and Climate Change Adaptation in Central Asia Project (Phase II)								
EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>3</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	2018	2019	FINAL	
<b>Output 1</b> <i>Strengthen national risk assessment and capacity building on DRR/CCA</i>	<i>Number of Central Asia collaborative network database</i>	<i>Project Report</i>	0	2017	1	0	1	<i>Cooperate with scientific research institutions in Central Asia countries.</i>
	<i>Number of BRI flood and drought risk map</i>	<i>Project Report</i>	0	2017	2	0	2	<i>Cooperate with scientific research institutions in Central Asia countries.</i>
	<i>Number of demonstrations on flood and drought monitor, early warning, prevention and management in typical Central Asia region</i>	<i>Project Report</i>	0	2017	0	1	1	<i>Cooperate with scientific research institutions in Central Asia countries.</i>
	<i>Number of countries covered by the collaborative network</i>	<i>Project Report</i>	0	2017	4	0	4	<i>Cooperate with scientific research institutions in Central Asia countries.</i>

<sup>2</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

<sup>3</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.



	<i>Population covered by the early warning plan</i>	<i>Project Report</i>	0	2017	20,000,000	20,000,000	40,000,000	<i>Cooperate with scientific research institutions in Central Asia countries.</i>
	<i>Percentage of female covered by the early warning plan</i>	<i>Project Report</i>	N/A	2017	50%	20%	70%	<i>Cooperate with scientific research institutions in Central Asia countries.</i>
<b>Output 2</b> <i>Improve DRR/CCA response capacity of local community</i>	<i>Number of XIEG-UNDP Central Asia disaster technical training</i>	<i>Project Report</i>	0	2017	4	4	8	<i>Carry out technical training.. relying on XIEG and RCEECA sub-centers in Almaty, Bishkek and Dushanbe</i>
	<i>Number of participants of XIEG-UNDP Central Asia disaster technical training</i>	<i>Project Report</i>	0	2017	80	80	160	<i>Carry out technical training relying on XIEG and RCEECA sub-centers in Almaty, Bishkek and Dushanbe</i>
	<i>Number of female participants of XIEG-UNDP Central Asia disaster technical training</i>	<i>Project Report</i>	0	2017	4	4	8	<i>Carry out technical training relying on XIEG and RCEECA sub-centers in Almaty, Bishkek and Dushanbe</i>
<b>Output 3</b> <i>Disseminate disaster prevention and mitigation techniques and results</i>	<i>Number of international experience exchange conference</i>	<i>Project Report</i>	0	2017	4	2	6	<i>Organize International DRR seminar in Xinjiang and Central Asia countries</i>
	<i>Number of participants of international experience exchange conference</i>	<i>Project Report</i>	0	2017	400	200	600	<i>Organize International DRR seminar in Xinjiang and Central Asia countries</i>
	<i>Number of female participants of international experience exchange conference</i>	<i>Project Report</i>	0	2017	16	8	24	<i>Organize International DRR seminar in Xinjiang and Central Asia countries</i>



## VI. MONITORING AND EVALUATION

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

### Monitoring Plan

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



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



## VII. MULTI-YEAR WORK PLAN <sup>45</sup>

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

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget 2018				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount (USD)
<b>Output 1:</b> Strengthen national risk assessment and capacity building on DRR/CCA  <i>Gender marker: GEN1</i>	Activity 1.1 Project Launch Ceremony		100%			RCEECA	Parallel		10,000
	Activity 1.2 Early Warning Research and Project Seminar on Safety and Flood Disaster of Usoy Dam in Sarez Lake		20%	80%		RCEECA	Parallel		20,000
	Activity 1.3 Investigation and research on Central Asia drought and flood		20%	20%	60%	RCEECA	Parallel		61,800
							TRAC		24,200
<b>Sub-Total for Output 1</b>									<b>116,000</b>
<b>Output 2:</b> Improve DRR/CCA response capacity of local community  <i>Gender marker: GEN1</i>	Activity 2.1 Establish training base for technical training in disaster field monitoring and laboratory data analysis		20%	30%	50%	RCEECA	Parallel		20,000
	Activity 2.2 Carry out technical training in Central Asia disaster risk prevention and control			100%		RCEECA	Parallel		40,000
	<b>Sub-Total for Output 2</b>								

<sup>4</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>5</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.



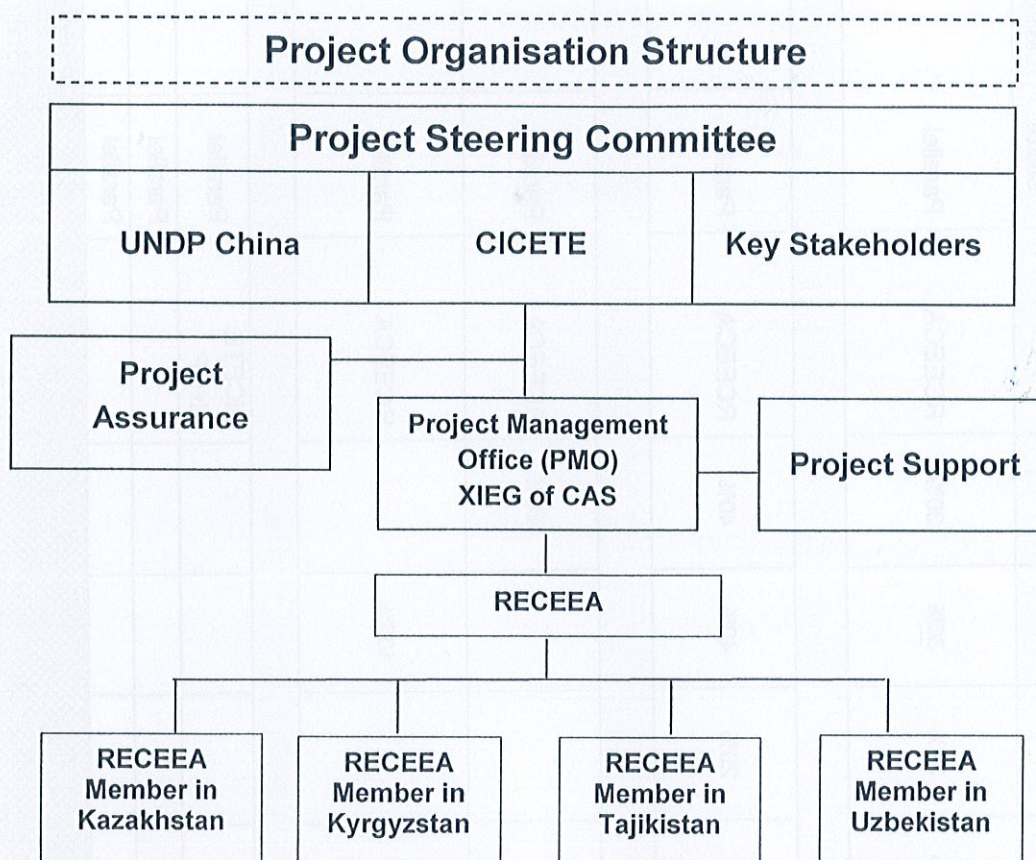
<b>Output 3:</b> Disseminate disaster prevention and mitigation techniques and results  <i>Gender marker: GEN1</i>	Activity 3.1 Organize Silk GIS Geoenvironmental Informatics International Symposium		100%			RCEECA	Parallel		25,000
	Activity 3.2 Organize UN Water and Sustainable Development Forum		100%			RCEECA	Parallel		20,000
	Activity 3.3 Organize Green Silk Road Resource and Ecological Safety International Symposium (Training Base Opening Ceremony)			100%		RCEECA	Parallel		27,000
	Activity 3.4 Organize the 11 <sup>th</sup> Central Asia International Symposium on Geoenvironmental Informatics			100%		RCEECA	Parallel		33,000
	<b>Sub-Total for Output 3</b>								
<b>Evaluation (as relevant)</b>	EVALUATION					CICETE UNDP	TRAC		12,693
							Parallel		5,582
<b>Project Service Support</b>	CICETE (3%)						Parallel		8,374
							TRAC		1,107
							Parallel		8,374
<b>TOTAL</b>								Parallel	<b>279,130</b>
								TRAC	<b>38,000</b>
								<b>Total</b>	<b>317,130</b>



EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget 2019				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount (USD)
<b>Output 1:</b> Strengthen national risk assessment and capacity building on DRR/CCA  <i>Gender marker: GEN1</i>	Activity 1.1 Release Central Asia flood and drought risk map jointly with experts of Central Asia flood and drought disaster mitigation	10%	30%	30%	30%	RCEECA	Parallel		67,200
	<b>Sub-Total for Output 1</b>								<b>67,200</b>
<b>Output 2:</b> Improve DRR/CCA response capacity of local community  <i>Gender marker: GEN1</i>	Activity 2.1 Organize training activities in the training base		20%	40%	40%	RCEECA	Parallel		35,000
	<b>Sub-Total for Output 2</b>								<b>35,000</b>
<b>Output 3:</b> Disseminate disaster prevention and mitigation techniques and results  <i>Gender marker: GEN1</i>	Activity 3.1 Organize Silk GIS Geoenvironmental Informatics International Symposium				100%	RCEECA	Parallel		20,000
	Activity 3.2 Organize BRI Natural Disaster Risk and Comprehensive Disaster Mitigation International Symposium			100%		RCEECA	Parallel		35,000
	<b>Sub-Total for Output 3</b>								<b>55,000</b>
<b>Evaluation (as relevant)</b>	EVALUATION					CICETE UNDP	Parallel		3,418
<b>Project Service Support</b>	CICETE (3%)						Parallel		5,126
	UNDP (3%)						Parallel		5,126
<b>TOTAL</b>								<b>Parallel</b>	<b>170,870</b>
								<b>Total</b>	<b>170,870</b>



## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



The project will carry out activities in accordance with *National Implementation by the Government of UNDP Supported Projects: Guidelines and Procedures* and relevant laws and regulations in China. With the authorization of MOFCOM, CICETE as the Implementing Partner of the project, will be responsible for the coordination and management of the project. The Project Management Office (PMO) based on XIEG, under the monitor and coordination by UNDP and CICETE, will carry out project activities to achieve the objectives and outputs.

The project will use parallel financing modality. Day-to-day funds management for project activities including financial management and annual audits will be handled by the PMO located in and hosted by XIEG. The day-to-day administration of the project will be directly in accordance with the details outlined in the project document and annual work plan.

UNDP and CICETE will work together to monitor the project to ensure the quality of the project implementation, including the evaluation/audit. PMO shall provide the quarterly progress report, annual progress report to CICETE. UNDP and CICETE will organize regular and irregular monitoring and site visit to assess the progress and result of the project through beneficiaries such as relevant parties, government, scientific research unit and residents. Relevant organizations will assess project progress, results, lessons learned, challenges and plans.



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## IX. LEGAL CONTEXT

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

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

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## X. RISK MANAGEMENT

### Option a. Government Entity (NIM)

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
  - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).
4. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-



corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

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

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

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

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

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

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

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

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

12. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall



actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

14. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.



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## XI. ANNEXES

### 1. Project Quality Assurance Report

See attached PDF *94618 ProDoc Annexe I - Design & Appraisal Stage Quality Assurance Report*

2. **Social and Environmental Screening Template** [English][French][Spanish], including additional Social and Environmental Assessments or Management Plans as relevant. *(NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country level activities).*
3. **Risk Analysis.** Use the standard Risk Log template. Please refer to the Deliverable Description of the Risk Log for instructions
4. **Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)
5. **Project Board Terms of Reference and TORs of key management positions**



# Design & Appraisal Stage Quality Assurance Report

Overall Project Rating :	Highly Satisfactory
Decision :	Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
Project Number :	00087690
Project Title :	Promoting Integrated Disaster Risk Reduction and Climate Change Adaptation in Central Asia
Project Date :	20-Apr-2015

## Strategic

Quality Rating: Highly Satisfactory

### 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):

- 3: The project has a theory of change with explicit assumptions on how the project will contribute to higher level change as specified in the programme's theory of change, 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.
- 2: *The project has a theory of change related to the programme's theory of change. It has explicit assumptions that explain how the project intends to contribute to higher level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.*
- 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's theory of change. The project document does not clearly specify why the project's strategy is the best approach at this point in time.

#### Evidence

#### Management Response

Project Document has incorporated the Theory of Change and has explicit assumptions. Due to the limitations of data sharing among partner countries, there'll be needs assessment along the inception stage of the project.

#### List of Uploaded Documents

File Name	Modified By	Modified
<a href="#">Signed ProDoc_Central Asia Project.pdf</a>	mengying.ren@undp.org	11/19/2015 4:47:32 AM

### 2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option that best reflects the project)

- 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)*
- 2: The project responds to one of the three areas of development work1 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)
- 1: While the project may respond to one of the three areas of development work1 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.

#### Evidence



The project responds to the theme of climate and disaster resilience

Relevant

Quality Rating: Satisfactory

**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 that best reflects this project)**

- 3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.) The project plans to solicit feedback from targeted groups regularly through project monitoring. Representatives of the targeted group/geographic areas will contribute to project decision-making, such as being included in the project's governance mechanism (i.e., project board.) (all must be true to select this option)
- 2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised, and are engaged in project design. The project document states clearly how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. Collecting feedback from targeted groups has been incorporated into the project's RRF/monitoring system, but representatives of the target group(s) may not be directly involved in the project's decision making. (all must be true to select this option)
- 1: The target groups/geographic areas do not prioritize excluded and/or marginalised populations, or they may not be specified. 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.

Evidence

Management Response

Targeted groups and geographic areas have been identified based on relevant research.

**4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option that best reflects this project)**

- 3: Knowledge and lessons learned backed by credible evidence from evaluation, analysis 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.
- 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.
- 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.

Evidence

Management Response

The project design was based on good practices and lessons learned from a previous domestic project on DRR/CCA and scoping mission from partner countries.

**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 that best reflects this project)**



- 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)
- 2: A 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. Gender concerns are integrated in 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)
- 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.

**Evidence****Management Response**

Gender element was incorporated however not the priority of the project

**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 the options that best reflects this project)**

- 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: 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 labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.
- 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 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.

**Evidence****Management Response**

Project partners were identified based on successful previous partnership and capacity assessment.

**Social & Environmental Standards**

**Quality Rating: Highly Satisfactory**

**7. Does the project seek to further the realization of human rights using a human rights based approach? (select the options that best reflects this project)**

- 3: Credible evidence that the project aims to further the realization of human rights, specifically upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously assessed and identified with appropriate mitigation and management measures incorporated into project design and budget. (all must be true to select this option)
- 2: Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were assessed and identified and appropriate mitigation and management measures incorporated into the project design and budget.



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.

**Evidence**

**Management Response**

The project addresses likelihoods issues in disaster prone areas.

**8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options that best reflects this project)**

3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered 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).

2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.

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.

**Evidence**

**Management Response**

The project particularly addresses environmental sustainability and climate change adaptation.

**9. If the project is worth \$500,000 or more, has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? Select N/A only if the project is worth less than \$500,000. [if yes, upload the completed checklist]**

Yes

No

NA

**Evidence**

SESP uploaded

**List of Uploaded Documents**

File Name	Modified By	Modified
<a href="#">94618 SESP.docx</a>	mengying.ren@undp.org	11/19/2015 4:38:52 AM

**Management & Monitoring**

**Quality Rating: Highly Satisfactory**

**10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project)**

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)



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)

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.

**Evidence****Management Response**

Limitations for data sources due to different country context and policy

**11. Is there a comprehensive and costed M&E plan with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?**

Yes

No

**Evidence**

Project will be reviewed annually and reported quarterly.

**12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project)**

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).

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)

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.

**Evidence****Management Response**

Management arrangement incorporated in the ProDoc

**13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project)**

3: Project risks fully described in the project risk log, based on comprehensive analysis which references key assumptions made in the project's theory of change. Clear and complete plan in place to manage and mitigate each risk. (both must be true to select this option)

2: Project risks identified in the initial project risk log with mitigation measures identified for each risk.

1: Some risks may be identified in the initial project risk log, but no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.



Evidence	Management Response	
<b>List of Uploaded Documents</b>		
File Name	Modified By	Modified
<u>Draft Risk Log.docx</u>	mengying.ren@undp.org	11/19/2015 5:09:44 AM
<b>Efficient</b> <span style="float: right;">Quality Rating: Exemplary</span>		
<p><b>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.</b></p>		
<p><input checked="" type="radio"/> Yes  <input type="radio"/> No</p>		
<b>Evidence</b>		
Theory of change analysis was part of the initial project design stage among UNDP, implementing partners and PMOs.		
<p><b>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?)</b></p>		
<p><input checked="" type="radio"/> Yes  <input type="radio"/> No</p>		
<b>Evidence</b>		
The project links to other UNDP DRR initiatives and policy research interests.		
<p><b>16. Is the budget justified and supported with valid estimates?</b></p>		
<p><input checked="" type="radio"/> Yes  <input type="radio"/> No</p>		
<b>Evidence</b>		
Budget plan reviewed during SPARC Meeting.		
<p><b>17. Is the Country Office fully recovering its costs involved with project implementation?</b></p>		
<p><input checked="" type="radio"/> Yes  <input type="radio"/> No</p>		



**Evidence**

DPC has been well negotiated. GMS is covering the project management cost.

**Effective****Quality Rating: Exemplary****18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project)**

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)*

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.

1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.

**Evidence****Management Response**

The project has gone through two rounds of UNDP China SPARC assessment before it is launched.

**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: *Credible evidence that all targeted groups, prioritising 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 analysed 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.*

2: Some evidence that key targeted groups, prioritising 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 analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.

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.

**Evidence**

The project targets at disaster-prone/climate vulnerable areas and populations.

**20. Does the project have explicit plans for evaluation or other lesson learning, timed to inform course corrections if needed during project implementation?**

Yes

No

**Evidence**

Through workshops and annual review meetings.



21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

- Yes  
 No

Evidence

Management Response

GEN2

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)

- 3: The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources.  
 2: The project has a work plan & budget covering the duration of the project at the output level.  
 1: The project does not yet have a work plan & budget covering the duration of the project.

Evidence

Realistic work plan and budget incorporated in the ProDoc and will be reviewed annually.

Sustainability & National Ownership

Quality Rating: Exemplary

23. Have national partners led, or proactively engaged in, the design of the project?

- 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.  
 2: The project has been developed by UNDP in close consultation with national partners.  
 1: The project has been developed by UNDP with limited or no engagement with national partners.

Evidence

National partners led the design of the project in consultation with UNDP.

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):

- 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.  
 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen 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.



1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.

1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.

**Evidence**

capacity assessment conducted for UNDP China's longstanding partner

**25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.) to the extent possible?**

Yes

No

**Evidence**

Follow NIM Manual

**26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?**

Yes

No

**Evidence**

Discussed and documented during project inception workshop

**List of Uploaded Documents**

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**Quality Assurance Summary/PAC Comments**

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