



Empowered lives.  
Resilient nations.

## PROJECT DOCUMENT

[CHINA]

**Project Title:** Risk & Resilience Innovation Project (Phase II)

**Project Number:** 00097097

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

**Start Date:** February 2019

**End Date:** December 2020

**PAC Meeting Date:**

### **Brief Description**

According to UNISDR Annual Report 2016, the world has lost about 1.35 million lives due to natural disasters over the past 20 years, with a total of around 2 billion people affected and an average of USD 250 billion economic losses per year. As a country vulnerable to climate change and disasters, more than 70% of cities and more than 50% of the population in China are located in areas prone to serious natural disasters, such as meteorological, seismic, geological and oceanic disasters. The frequency, complexity, severity and extensiveness of such disasters are quite unusual. According to statistics, more than 300 million people in China suffer from disasters every year, resulting in 1%-2% decline of GDP. The lack of awareness and professional capacity in public DRR and risk response have seriously exacerbated the disaster-induced loss of lives and properties.

UNDP proposes that resilience capacity building is not only relevant for systemic capacity and professional capacity for those involved in disaster risk governance, but also a matter of extensive participation of individuals and interdisciplinary sectors. It involves domestic and international support based on leadership, analytical knowledge and skills, in-kind resources, corresponding government systems and effective and multi-stakeholder cooperation. As an innovative demonstration city where good practices get implemented, Ya'an City, having experienced both Wenchuan earthquake in 2008 and Lushan earthquake in 2013, is not only equipped with comprehensive experience of major disasters' prevention, but also rich with cases and practical experience of multi-stakeholder participation in post-disaster reconstruction and resilience building. Thus, Ya'an's unique experience will provide a clear theoretical perspective and a visualized pathway for major disasters-related risk governance, comprehensive prevention, resilient city development, poverty alleviation efforts and sustainable development with Chinese characteristics, serving as a feasible plan that combines theory with reality.

Since 2016, the UNDP-China Risk & Resilience Innovation Project (2016-2018), jointly initiated by UNDP, CICETE, One Foundation, Narada Foundation, Save the Children and Beijing Normal University, was designed with two main priorities: risk assessment and comprehensive prevention. It has delivered significant results in promoting better engagement and inclusion for social forces' participation in disaster governance, multi-stakeholder coordinated participation in risk governance capacity building, development of risk assessment and learning tools as well as pathway development for public DRR education. The project Phase I has already established an education base (Chengdu Disaster Preparedness Learning Center), an innovation laboratory (R + Lab: UNDP-China Risk & Resilience Innovation Project Lab) and a multi-sector cooperation network (Risk Governance Innovation Case Bank), facilitating sharing of information, technology and knowledge in the field of disaster governance by drawing on innovation; at the same time, the multiple partners have come to reach a consensus with a more flexible collaborative framework being established and sound dynamics being built, which has driven forward the application and innovative implementation of the theories and tools for diversified risk governance and building resilient society in disaster-prone areas with high risks.

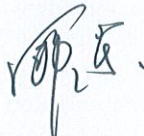

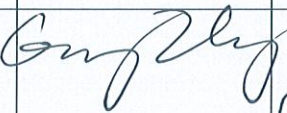
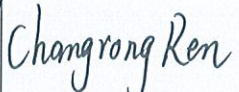

Building on the aforementioned governance system structure, resilience concept overview and the previous experience and outcomes of the Project Phase I, the Phase II takes Ya'an as a typical and demonstration case to further consolidate practical outcomes of the education base, innovation laboratory and multi-sector cooperation network. By building a resilient system of three levels "Family, Community (School included) and City" in Lushan county of Ya'an, the project seeks to facilitate sharing of information, technology and knowledge in the field of disaster governance, bolster development of pathways for resilient communities and cities, and promote system of urban public safety governance featuring Chinese characteristics and global relevance. The Project Phase II will not only further transformation of the Phase I outcomes, but also create an integrated setup of "Chengdu Capacity Building Platform, Ya'an Pilot Implementation Base and Beijing Knowledge Innovation Center". In the meantime, it will continue to strengthen research and development of standardized knowledge products in disaster response, such as standards, tools and cases, and promote shared knowledge production and knowledge sharing on resilient cities in China and beyond.



Contributing Outcome (UNDAF/CPD, RPD or GPD):  
 Outcome 2: Effective protection of ecological environment and improvement of sustainable green growth for a cleaner, healthier and safer environment enjoyed by more people.  
 Indicative Outputs:  
 Output1: GEN 1  
 Output2: GEN 1  
 Output3: GEN 1

<b>Total resources required:</b>	<b>USD \$1,010,000</b>	
<b>Total resources allocated:</b>	USD \$1,000,000	
	<b>UNDP TRAC:</b>	10,000
	<b>Parallel Donor:</b>	\$1,000,000
	<b>Government:</b>	-
	<b>In-Kind Resources:</b>	-
<b>Unfunded:</b>	-	

Agreed by signatories (Signatures)<sup>1</sup>:

China International Center for Economic and Technical Exchange (CICETE)	United Nations Development Programme (UNDP)	Innovation Center for Risk Governance of BNU	Ya'an Mass Organization Social Service Center	Shenzhen One Foundation
				
Print Name:	Print Name: :	Print Name:	Print Name: Changrong Ren	Print Name: Lihong
Date:	Date:	Date:	Date:	Date:

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



---

## I. DEVELOPMENT CHALLENGE

Based on UNISDR Annual Report 2016, the world has lost about 1.35 million lives to natural disasters over the past 20 years, among which 56% of deaths was due to earthquakes and Tsunamis. With regard to the overall death toll, Haiti has become the country most severely devastated by natural disasters, suffering from earthquakes, droughts and hurricanes. From 1996 to 2015, nearly 230,000 lives were devastatingly lost in Haiti due to natural disasters. This death toll was followed by Indonesia (182,000), Myanmar (139,000), China (123,000) and India (97,000). Additionally, a total of around 2 billion people were affected by natural disasters, with an average of USD 250 billion economic losses suffered per year between 2004 and 2013<sup>2</sup>. In the meantime, climate change is changing the frequency, intensity, extent, duration and timing of extreme weather and climate events, undermining the livelihoods of hundreds of millions of people. It has been proven that low-income and vulnerable groups have been suffering substantial impact of disasters in the past few decades.

As the most complex social ecosystems, cities have been subject to various kinds of uncertainties, shocks and disturbances that can hardly be fully avoided since the emergence of cities. With increasing density of urban space and population distribution, greater complexity of social organizations and contradictions and more diversified economic structures, urban development is confronted with more complicated risks, accompanied by more prominent potential impacts and catastrophic consequences. In 2018, the General Office of the Central Committee of the Communist Party of China and the General Office of the State Council proposed in the *Opinions on Promoting Urban Safety Development* that safety development should be an important symbol of urban modern civilization, with a well-functioning public safety system and a jointly-built, coordinated and shared urban safety and social governance framework. It is estimated that by 2030, China's urbanization rate is likely to reach 70%, resulting in a total urban population of over 1 billion. With the national poverty alleviation efforts rolling out and the sustainable development plan being proposed, higher requirements were raised for public safety governance in cities, highlighting the pressing need to address urban risks.

Research on urban public safety usually focused on two relatively independent perspectives: 1) A sustainable development perspective on the city's own infrastructure, economic development and personal income, social and cultural aspects; 2) a social resilience perspective on risk governance, emergency management, comprehensive prevention and post-disaster capacity recovery. However, when confronted with complex coupling disasters, a city's own attributes, capacity to assess disaster risks, its comprehensiveness of risk prevention and a long-term perspective of urban resilience development are all highly relevant for urban public safety governance. Therefore, it is necessary to integrate the two perspectives and establish a comprehensive urban public safety governance system based on technical approaches such as Technology, Policy and Management (TPM), so as to integrate urban development with coupling disaster risk assessment, comprehensive prevention and urban resilience to meet the practical needs of urban safety development.

As a country vulnerable to climate change and disasters, more than 70% of cities and more than 50% of the population in China are located in areas prone to serious natural disasters, such as meteorological, seismic, geological and oceanic disasters. Over 300 million people in China suffer from disasters every year, resulting in a 1%-2% decline in GDP. The disaster-induced loss of lives and properties have been seriously exacerbated by the lack of public awareness and professional capacity in disaster prevention, mitigation and risk response. With the context of continuous acceleration of China's urbanization process and its goal of ecological civilization, China will enter into a stage of rapid urbanization with new features. By 2030, China's urbanization rate is likely to reach 70%, resulting in a total urban population of over 1 billion. The rapid development and expansion of cities, highly concentrated populations and high-intensity economic activities all mean that the risks of natural disasters facing cities will continue to rise.

UNDP considers disasters the most fundamental threat to development and thinks that only by comprehensively promoting disaster prevention and mitigation will sustainable development become possible. Correspondingly, China has put forward a disaster governance approach that "prioritizes prevention, combines prevention, response and relief by integrating regular disaster reduction and non-regular disaster relief efforts" and "comprehensively improve the overall prevention capacity and public resilience against natural disasters with a shift of focus from post-disaster relief to pre-disaster prevention, from single-disaster response to integrated disaster reduction and from loss mitigation to risk mitigation". In spite of the substantial investment in infrastructure China has made and the results achieved in responding to disasters, the current model to a

---

<sup>2</sup> The World Disasters Report 2014



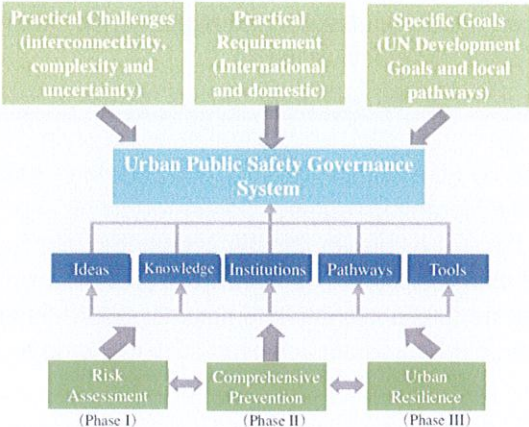
certain extent can be traced back to a simplified passive engineering thinking. An approach of urban public safety governance that integrates ideas, knowledge, institutions, pathways and tools has not yet been established, while the stakeholders of social governance and social participation are not yet fully mobilized. Given this context, it is of great importance and necessity to have a comprehensive resilient city development plan based on multi-partner collaboration and South-South cooperation. At present, there is still very limited investment in disaster risk management, especially for interdisciplinary subjects. Nor is there a systemic approach to mobilize government and social resources to establish links among different stakeholders. Therefore, greater efforts are needed to ensure that China's investment in domestic and international infrastructure and capacity building is risk-informed and fit for promoting resilient society/urban development.

## II. STRATEGY

The *Sendai Framework for Disaster Reduction 2015-2030* (Sendai Framework) takes risk reduction and resilience capacity building as the key to reducing disaster losses. The seven targets and four priorities for actions of Sendai Framework marked the first major agreement on the post-2015 development agenda and proposed a consensus on enhancing social resilience for long-term disaster mitigation. As a result, UNDP announced the '5-10-50' Global Flagship Programme, which plans to support countries and communities to deliver the following 5 risk-informed development goals in at least 50 countries in the next 10 years: I) risk awareness and early warning, II) risk governance and mainstreaming, III) disaster preparedness, IV) resilience recovery, V) local/urban risk reduction. The concept of comprehensive and full-process prevention is also on the rise in China. With the shift of focus towards pre-disaster phase and the proposition of resilient development, local governments are increasingly developing an interest in social resilience. The content around 'improving urban resilience' has been included in the latest urban master plans of both Beijing and Shanghai (*Beijing Urban Master Plan (2016-2035)* and *Shanghai Urban Master Plan (2017-2035)*).

Building resilience is a matter of systemic sustainability, emphasizing the capacity of the urban system for risk adaption, recovery, learning and transformation. It is linked not only with the systemic capacity or the capabilities of professionals in the field of disaster risk governance, but also with the participation of a wider range of individuals and interdisciplinary sectors, taking the initiative to respond to risks in various scenarios. Building resilience involves the ability to predict risks as well as the systemic and comprehensive prevention capabilities. It is of vital importance to explore a model of resilience development with Chinese characteristics through understanding how to draw on the progress of international theories and practices and combine them with the reality of China's urban development and emergency management.

Given the context, a proposition to build an urban public safety governance system that integrates risk assessment, comprehensive prevention and urban resilience is made, in order to meet the central government's requirements of "comprehensively improving the overall prevention capacity and public resilience against natural disasters with a shift of focus from single-disaster response to integrated disaster reduction and from loss mitigation to risk mitigation" as early as possible. Based on the practical and development context of China and the five development goals of UN, the proposition integrates ideas, knowledge, institutions, pathways and tools to address the interconnectivity, complexity and uncertainty of urban development. Accompanied by a multi-disaster risk coupling assessment mechanism, a set of comprehensive multi-sector, multi-level and multi-stakeholder prevention strategies will be established along with a localized and feasible pathway for resilient cities.



Graph 1. The System Framework of Urban Public Safety Governance



The UNDP-China Risk & Resilience Innovation Project (2016-2018), jointly initiated and developed by the United Nations Development Programme (UNDP), China International Center for Economic and Technical Exchange (CICETE), One Foundation, Narada Foundation, Save the Children and Beijing Normal University (BNU), was designed with two main priorities: risk evaluation and comprehensive prevention. It has delivered significant results in promoting better engagement and inclusion for social forces' participation in disaster governance, multi-stakeholder coordinated participation in risk governance capacity building, development of risk assessment and learning tools as well as pathway development for public disaster reduction education. The Project Phase I has already established an education base (Chengdu Disaster Preparedness Learning Center), an innovation laboratory (R + Lab: UNDP-China Risk & Resilience Innovation Project Lab) and a multi-sector cooperation network (Risk Governance Innovation Case Bank), facilitating sharing of information, technology and knowledge in the field of disaster governance by drawing on innovation to a great extent. Throughout the implementation phase, the multiple partners have come to reach a consensus with a more flexible collaborative framework being established and sound dynamics being built, which has driven forward the application and innovative implementation of the theories and tools for diversified risk governance and building resilient society in disaster-prone areas with high risks.

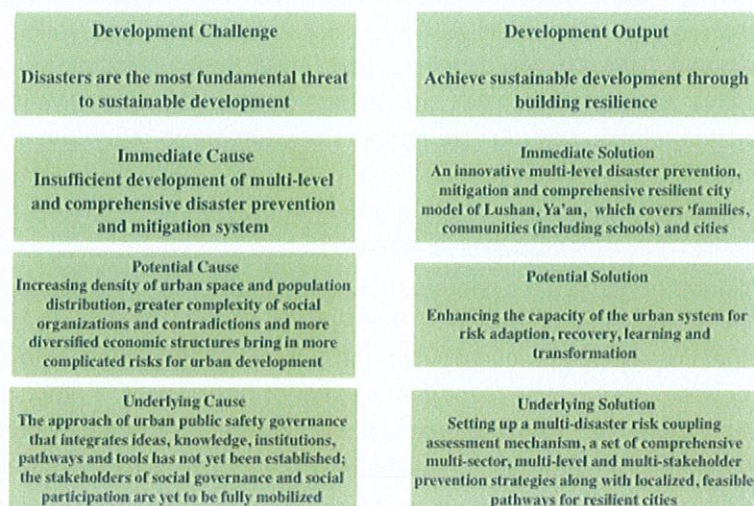
Building on the aforementioned governance system structure, resilience concept overview and the previous experience and outcomes of the Project Phase I, the Project Phase II takes Ya'an as a typical and demonstration case to further consolidate practical outcomes of the education base, innovation laboratory and multi-sector cooperation network. By building a resilient system of three levels "Family, Community (School included) and City" in Lushan county of Ya'an, the project seeks to facilitate sharing of information, technology and knowledge in the field of disaster governance, bolster development of pathways for resilient communities and cities, and promote system of urban public safety governance featuring Chinese characteristics and global relevance. The Project Phase II will not only further transformation of the Phase I outcomes, but also create an integrated setup of "Chengdu Capacity Building Platform, Ya'an Pilot Implementation Base and Beijing Knowledge Innovation Center". In the meantime, it will continue to strengthen research and development of standardized knowledge products in disaster response, such as standards, tools and cases, and promote shared knowledge production and knowledge sharing on resilient cities in China and beyond. Proposing an urban public safety governance system as a systemic framework and a logical starting point, the project will utilize risks and resilience-oriented approach to verify changes. In the meantime, the project adopts a comprehensive perspective on enhancing resilience capacity building in correspondence to the Sendai Framework, with the following key objectives:

- Combining international experience and Ya'an local context, Lushan County of Ya'an will be taken as an example to explore the innovative pathways for multi-level disaster prevention, mitigation and comprehensive resilient cities that cover "Family, Community (School included) and City";
- Combining the experience of Wenchuan and Lushan, the post-disaster reconstruction efforts will be utilized as development opportunities and summarized into practical pathways for China's resilient city development, leading to propositions of a feasible, sustainable and scalable resilient city plan and an innovative demonstration system of urban public safety governance featuring Chinese characteristics and global relevance;
- Based on the in-depth exploration and systematic overview of the experience of Ya'an, explorations will be made to look for cooperation, promotion and demonstration of disaster risk management with the BRI countries and cities.

Specifically, UNDP and its project partners will jointly promote the development of a resilient system at the levels of "Family, Community (School included) and City" in 46 villages/communities across Lushan County, Ya'an, to facilitate sharing of information, technology and knowledge of disaster risk governance. It will further empower the development of pathways for resilient communities and cities and promotion of urban public safety governance system featuring Chinese characteristics and global relevance.



Building on existing capabilities and resources, the project will have a long-term impact on decision makers, academic institutions, private sectors, civil society and communities. Gender equity will also be integrated into all aspects of the entire project, especially for capacity building and education activities. The project seeks to promote social/urban resilient development and ultimately the delivery of sustainable development goals through multi-channel knowledge sharing, multi-sector cooperation networks and utilization of global resources.



Graph 2 Schematic Diagram of “Theory of Change” of the Project

**Relevant Sustainable Development Goals:**

- Goal 11: Sustainable Cities and Communities
- Goal 13: Climate Action
- Goal 17: Partnerships for the Goals

**Relevant Country Development Strategy**

The project follows the "Two Adherences" and "Three Transformations" pointed out by the "Opinions of the Central Committee of the Communist Party of China and the State Council on Promoting the Reform of Disaster Prevention, Reduction and Relief System", which is “prioritizes prevention, combines prevention, response and relief by integrating regular disaster reduction and non-regular disaster relief efforts”, “comprehensively improve the overall prevention capacity and public resilience against natural disasters with a shift of focus from post-disaster relief to pre-disaster prevention, from single-disaster response to integrated disaster reduction and from loss mitigation to risk mitigation” and “implement responsibilities, improve systems, integrate resources, and coordinate efforts to effectively improve the legalization, standardization and modernization of disaster prevention, reduction and relief, and comprehensively enhance the resilience of the whole society against natural disasters”. The project is in line with the overall objective of the General Secretary of the State Council's "Opinions on Promoting Urban Safety Development", which is to achieve significant progress in urban safety development by 2020 and build a number of safe development demonstration cities that are compatible with the goal of building moderately prosperous society. The project is in line with the overall national safety concept of "taking people's safety as the purpose, political security as the foundation, economic security as the basis, military, cultural and social security as the guarantee, and promoting international security as the support, to explore a national safety road with Chinese characteristics". It will promote China's development strategy to take the lead in implementing sustainable development goals by integrating the experiences of China and BRI countries.

**III. RESULTS AND PARTNERSHIP**

**Expected results**



The overall project goal is to explore innovative pathways for multi-level disaster prevention, reduction and comprehensive resilient cities based on the case of Ya'an. UNDP will work with its partners to establish a collaborative governance model based on resilient system to integrate the experience of China and BRI countries and enable knowledge exchanges through sustainable communication channels. Specifically, the following three outputs are expected:

Output 1: Exploration of the "family, school, community" model of resilient city and related innovative models using the Lushan County of Ya'an as a pilot.

1) Demonstration and promotion of family disaster reduction plan and guidance on furniture fastening and emergency supplies.

- Develop the *Guide to Family Disaster Reduction Plan* based on the local context of developing regions (based on the case of Lushan County, Ya'an);
  - Roll out county-wide needs assessment for family disaster prevention and reduction in Lushan, Ya'an;
  - Organize 1-2 seminars to develop guide tools;
- Develop guides on furniture fastening and emergency supplies;
  - Roll out county-wide needs assessment for furniture fastening and emergency supplies in Lushan, Ya'an;
  - Organize 1-2 seminars to develop guide tools;
- County-wide outreach and promotion of the *Guide to Family Disaster Reduction Plan* and *Guide to Emergency Supplies* in Lushan, Ya'an;
  - Promote the *Guide to Family Disaster Reduction Plan*, and *Guide to Furniture Fastening and Emergency Supplies* across Lushan, Ya'an in a step-by-step manner;
  - Carry out no less than 10 family-oriented outreach and training activities to share knowledge of disaster reduction every year;

2) Development of implementation pathways for resilient community.

- Develop a participatory *Guide to Community Emergency Plan Development* based on the local context of developing regions (based on the case of Lushan County, Ya'an);
  - Roll out needs assessment for community disaster prevention and reduction in 46 villages/communities of Lushan, Ya'an;
  - Organize 1-2 seminars to develop guide tools;
- Develop guides to setting up community-based first responders (community volunteer rescue team) and capacity building activities;
  - Roll out a baseline survey on community-based first responders (community volunteer rescue team) in 46 villages/communities in Lushan County, Ya'an;
  - Organize 1-2 seminars to develop community-oriented *First Responders (Community Volunteer Rescue Team) Development Guide* and *Community Emergency Drills Guide*;
  - Organize no less than 10 community-oriented first responders (community volunteer rescue team) capacity building activities each year;
- County-wide outreach and promotion of first responders (community volunteer rescue team) system;
  - Carry out outreach and advocacy activities and drills on community disaster prevention and reduction;
  - Put together a network of first responders (community volunteer rescue team) in Lushan County, Ya'an;

3) Development of safe schools and capacity building for disaster prevention and reduction in schools.

- Develop toolkits such as the *Guide to School Emergency Supplies* and the *Manual of School Emergency Drills* based on the local context of the developing regions (based on the case of Lushan County of Ya'an);



- Roll out needs assessment for school disaster prevention and reduction in Lushan, Ya'an;
- Organize 1-2 seminars to develop toolkits;
- Outreach and promotion of the use of relevant tools for safe school development;
  - Promote toolkits to schools through school disaster reduction activities;
  - Carry out outreach and advocacy activities and drills on school disaster prevention and reduction;

Output 2: Development of pathways for building demonstration/resilient cities on disaster prevention and reduction in China.

- 1) Establish a community-based special disaster reduction fund in Ya'an;
- 2) Prepare and develop an overall plan for Ya'an as a resilient city and suggestions for Ya'an innovation development;

Output 3: International and domestic promotion of the experience on building resilient city with safety development and the experience of Ya'an.

- 1) Based on the in-depth exploration and systematic overview of Ya'an experience, the Ya'an Model Report will be developed and shared on the occasion of the annual International Day for Disaster Reduction and a joint conference held in collaboration with UN agencies on "BRI Countries Experience Sharing on National (City) Resilience and Sustainable Development";
- 2) Carry out 1-2 international study tours on different topics (Japan, USA, etc.).

### ***Resources required to achieve the expected results***

The main investments needed to achieve the expected results include:

#### *Financial Resources*

The project will adopt the parallel funding management approach. Project partners are expected to invest a total of USD 1.01 million for the project. USD 500,000 of parallel fund and USD 10,000 of TRAC have been in place to support the 2019 project activities according to the project work plan. In addition, Ya'an will use a total of USD 145,000 to establish a community-based Special Fund for Disaster Reduction in Yan'an to provide long-term support for grassroots-level community disaster mitigation and safety efforts. This demand-driven approach to resources flow, in partnership with government entities, foundations, and academic institutions, is an innovative practice to ensure sustainability and scalability. The project is expected to reach out after the Stage I, and partners will continue to co-finance according to project themes to ensure sustainability of resources.

#### *Human Resources*

With all the practical efforts of 2016-2018, the project has successfully established a project innovation laboratory and a base in Beijing and Chengdu respectively, both equipped with permanent teams of expert think tanks, project management and research personnel to share knowledge on disaster risk governance. At the same time, the Ya'an Mass Organization Social Service Center, under the leadership of the Municipal Party Committee and the Municipal Government, has been committed to providing services and active guidance to social organizations to participate in activities such as post-disaster reconstruction, poverty alleviation, community-based disaster prevention and mitigation. The Center has put together a permanent team at the local office to support the project. Research, effective communication, expertise and skills, and coordination capacities are key factors for successful implementation and sustainable development of the project.

### ***Partnership***

The project aims to expand the strategic significance of its cooperation with the government and to enhance resources pooling and networking among academic institutions and social organizations. The existing partners will not only provide financial and practical support but also mobilize their relevant resources and technical capabilities to support the project.



#### Ya'an Mass Organization Social Service Center, Sichuan Province

To better carry out post-earthquake relief efforts in the wake of the earthquake in Lushan County, Ya'an City on April 20th, 2013, the "Earthquake Relief and Rescue Social Organization and Volunteer Service Center of Ya'an City" was established on May 20th, 2013 and officially renamed as "Ya'an Mass Organization Social Service Center" in 2014. Taking "resources integration, communication coordination, incubation and cultivation, project coordination and system development" as its main functions, the Center has extended its scope of operations on social management innovation to the entire city and transformed social governance from emergency response to regular efforts. For the project, the Center will serve as the project local PMO to cooperate with relevant government departments of Ya'an City and the Innovation Center for Risk Governance of BNU to jointly build a Sichuan Laboratory for the project (Western China Innovation Center for Disaster Mitigation and Sustainable Development). It will provide on-site support for the project on policies, resources as well as project-related activities and implementation. At the same time, the Center will strive for the government's supporting fund to establish a community-based Special Fund for Disaster Reduction in Ya'an, and work to mobilize in-kind, human and policy resources from all levels of Ya'an government entities.

#### Shenzhen One Foundation

One Foundation was registered as the first publicly-funded foundation of the private sector in China on January 11, 2011. Dedicated to disaster relief, child care and development, public service support and innovation, One Foundation is committed to becoming a pioneer, innovator and promoter of Chinese public interest. Disaster governance has been a core operation area for One Foundation for a long time, with established operations across the entire chain of disaster prevention, mitigation, preparedness, relief, resettlement and reconstruction and targeted measures before, during and after disasters. One Foundation also seeks to support affected children and their families to have lives with dignity. In this project, One Foundation will work closely with the pilot city on explorations of "Family, Community (School included) and City" disaster prevention and reduction output as part of the efforts of "building demonstration/resilient cities", while providing financial and technical support for 2019 project activities.

#### Innovation Center for Risk Governance of Beijing Normal University

The Innovation Center for Risk Governance is an academic institution of Beijing Normal University. Equipped with a team of world's leading experts in disaster, social development and emergency management, the Center aims to build a new type of think tank that closely integrates the government, industry, academia, research and application, and combines both domestic and international resources. Focusing on priority areas of risk governance, it seeks to facilitate development of resilient societies. Apart from effectively bringing in international advanced ideas and technologies to improve disaster risk governance in China, the Center also works together with relevant enterprises and social organizations to promote capacity building for Belt and Road countries on disaster risk governance. With years of participation in responses to major disasters at home and abroad, the Center's research team has emphasized timely response to global disasters as well as long-term data and R&D capabilities for sustainable development. And for many years the Center has been a strategic partner of UNDP China. The Innovation Center for Risk Governance of BNU will serve as the PMO and secretariat for daily operations of the project and joint laboratory, providing technical support for the implementation and development of project activities, resource mobilization, and knowledge production.

#### China International Center for Economic and Technological Exchange

China International Center for Economic and Technological Exchange (CICETE) is designated by the Ministry of Commerce for coordination and management of UNDP's cooperation projects in China. With more than 30 years of experience of managing UNDP's project, CICETE has successfully implemented more than 900 projects in various fields. CICETE will sign the project document on behalf of government of China and jointly monitor and evaluate the project together with UNDP China for overall quality assurance; it will also support the project on its goal of exploring disaster risk management cooperation with BRI countries as needed.

#### United Nations Development Programme

With offices in more than 170 countries and territories around the world, UNDP has a vast international network with rich expert resources. It established the China Office in 1979 and has since then carried out more than 900 projects in China, which has promoted China's sustainable development. At the same time, UNDP has carried out extensive international cooperation under the framework of South-South Cooperation with rich experience accumulated. UNDP China will carry out comprehensive monitoring and evaluation of the project



to ensure the overall project quality; and provide international resources and technical support for the goal of exploring disaster risk management cooperation with BRI countries.

### **Risks and Assumptions**

<b>Risk Type</b>	<b>Descriptions</b>	<b>Mitigation Measures</b>	<b>Status</b>
Physical/ Environmental	The project activities will be carried out in Ya'an City, Sichuan Province. The project implementation sites may be affected by natural disasters, leading to possible disruptions to planning and implementation of project-related activities.	To mitigate the impact of such risks on the project, the project management team will work with the implementing partners on risk assessment, emergency preparedness and on-site investigations as needed.	The project will be monitored through regular meetings. Additionally, the Ya'an Mass Organization Social Service Center, as a direct partner of the project, will provide support as needed.
Institutional	Given the varying institutional systems and capabilities of project partners, there could be certain challenges around project management and coordination.	The PMO will be responsible for daily project management, whereas the project steering committee will jointly organize project evaluation and monitoring, make major decisions, provide guidance on project implementation and convene meetings to communicate when necessary to ensure smooth running of the project.	The project will be monitored through regular meetings.
Financial	To ensure adequate funding for project sustainability and promotion.	Specific needs and fund allocation will be deliberated annually and confirmed by UNDP and its project partners according to annual agreement.	The project will be monitored through regular meetings.

### **Stakeholder Engagement**

The project involves multiple stakeholders, including practitioners in the field of disaster risk governance, social organizations, academic institutions, local governments and the general public. The intended outcomes of the project will be developed and considered by taking into account the expected number of beneficiaries, needs, risk predictions and stakeholders of the project. The project's target group will be engaged through formal and informal consultations, seminars and exchanges to participate in the design, implementation, monitoring and evaluation of the project.

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

With South-South cooperation serving as a key element, this project is an innovative endeavor in institutional mechanisms, knowledge sharing and international exchanges. Although many Chinese enterprises have been involved in South-South cooperation through technology provision and infrastructure projects, they were less involved in disaster coordination, comprehensive resilient city development and capacity building efforts.

The goal of this project is to explore innovative pathways for multi-level disaster prevention, mitigation and comprehensive resilient urban development based on Ya'an. Due to its attributes of international cooperation and South-South exchanges, the project will integrate the experience of China and BRI countries to establish a collaborative governance model (Ya'an model) based on resilient systems and enable mutual learning and knowledge exchanges between China and other countries through sustainable communication channels.



## **Knowledge**

Knowledge sharing and mutual learning are the highlights of this project. The project is expected to combine both international experience and Ya'an local context to explore multi-level disaster prevention and reduction tools for education, such as "family disaster reduction plan, community emergency plan, school emergency kit and urban resilience system". It also aims to provide a knowledge and technology platform on sustainable disaster prevention and reduction with cases and best practices for research and practices. With a variety of channels and networks, the knowledge and experience gained in the project will be disseminated to beneficiaries and other potential stakeholders.

## **Sustainability and Scaling Up**

The project builds partnerships with government departments, foundations and academic institutions and adopts a demand-driven innovative approach to project design and resources mobilization to ensure project sustainability. The Project Phase I has already established a good partnership with partners committed to co-financing efforts based on research themes and expected scale, in order to further support innovation and global research on disaster risk governance.

---

## **IV. PROJECT MANAGEMENT**

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

The Government of China and UNDP have both accumulated considerable expertise and lessons-learned in the field of risk management. China has been actively promoting regional cooperation in disaster prevention and reduction. Building on existing capabilities and resources, UNDP China has provided partners with knowledge and experience sharing on risk reduction and resilience building.

The project will make full use of existing human, financial and in-kind resources to ensure the value and cost-effectiveness of the project's funding. In order to facilitate a timely delivery of the project's results over a short period of time, the project phase II will be established and operated on the basis of the established management team in phase I (for instance, BNU as the PMO of the project and a local PMO established in Ya'an). The joint action model will adapt to the core competencies of different partners to boost the efficiency and effectiveness of the project. When necessary, UNDP China will coordinate with its global UNDP global, regional and country offices of partner countries to ensure support for project cooperation, advocacy and successful implementation.

### ***Project Management***

The project is in consistent with the Standard Basic Assistance Agreement between UNDP and the Government of China. It is a National Execution (NEX) project, with the China International Center for Economic and Technological Exchange (CICETE) acting as the National Implementation Partner (IP). Innovation Center for Risk Governance of BNU serves as the execution entity, responsible for managing the progress of the project. The Ya'an Mass Organization Social Service Center and the Shenzhen One Foundation act as the local project management office and the cooperating partner respectively, responsible for rolling out project activities according to annual work plans of the project.

The project will adopt the parallel funding mechanism, with its project management terms based on *National Implementation Management Manual of Parallel Funding Amended Measures*. While UNDP and CICETE will provide evaluation and guidance on the effectiveness of the project, both sides' monitoring/assessment will not cover the management of parallel funds and are exempted from any disputes, dissensions and legal proceedings that may arise from parallel funding management.

UNDP and CICETE will jointly charge 8% of the total project budget as project service fees, which will be collected annually according to the two-year budget of the overall work plan in the project document.



## V. RESULTS FRAMEWORK

<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>								
<b>Applicable Output(s) from the UNDP Strategic Plan:</b>								
<i>Output 3.3.1</i> Evidence-based assessment and planning tools and mechanisms applied to enable implementation of gender-sensitive and risk-informed prevention and preparedness to limit the impact of natural hazards and pandemics and promote peaceful, just and inclusive societies								
<b>Project title and Atlas Project Number:</b> 00097097 Risk & Resilience Innovation Project (Phase II)								
EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	2019	2020	Final	
<b>Output 1</b> Exploration of the "Family, Community (School included) and City" model of resilient city and related innovative models using the Lushan County of Ya'an as a pilot;	1.1.1 The extent of penetration of family disaster reduction plan in the entire city of Ya'an	Monitoring report, Project evaluation	Minor	2018	Moderate	Major	Major	Survey feedbacks, Evaluation
	1.1.2 The number of participants for trainings on family disaster reduction plan (disaggregated data as much as possible: direct and indirect beneficiaries of the risk & resilience innovation project - by project type, gender and age)	Monitoring report, Project evaluation	0	2018	TBD	TBD	TBD	Project report, Project evaluation
	1.2.1 The extent of accessibility of useful community safety information for the general public	Monitoring report, Project evaluation	Minor	2018	TBD	TBD	TBD	Survey feedbacks, Evaluation
	1.2.2 The extent of penetration of community-based emergency plan in the entire city of Ya'an	Monitoring report, Project evaluation	0	2018	Moderate	Major	Major	Survey feedbacks, Evaluation
	1.2.3 The number of participants for trainings on community-based first responders (community volunteer rescue team) and drills (disaggregated data as much as possible: direct and indirect beneficiaries of the risk & resilience	Monitoring report, Project evaluation	0	2018	TBD	TBD	TBD	Project report, Project evaluation



<p><b>Output 2</b> Development of pathways for building demonstration/resilient cities on disaster prevention and reduction in China;</p> <p><b>Output 3</b> International promotion of the experience on building resilient city with safety development and the experience of Ya'an</p>	innovation project - by project type, gender and age)																			
	1.3.1 The extent of accessibility of useful DRR and safety information for teenagers	Monitoring report, Project evaluation	Minor	2018	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	Survey feedbacks, Evaluation
	1.3.2 The number of schools with improved capacity for disaster prevention and reduction	Monitoring report, Project evaluation	0	2018	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	Project report, Project evaluation
	2.1 The extent of development on effective coordinated governance mechanism in building resilient cities	Project report, Research publication	0	2018	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	Survey feedbacks, Evaluation
	2.2 The extent of implementation for the community-based safety fund	Monitoring report	Minor	2018	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	Survey feedbacks, Evaluation
	2.3 The number of tools being developed and shared with the target group (including academic institutions, practitioners, enterprises and policy-makers)	Project report, Project evaluation	0	2018	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	Project report, Project evaluation
	3.1 The extent of international visibility of the innovation model of resilient city development	Monitoring report, Project evaluation	0	2018	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	Survey feedbacks, Evaluation
	3.2 The extent of international experience being understood and absorbed by the target group	Project report, Project evaluation	0	2018	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	TBD	Project report, Project evaluation



## VI. MONITORING AND EVALUATION

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Monthly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	UNDP, PMO, CICETE,	
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	UNDP, PMO, CICETE,	
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	UNDP, PMO, CICETE,	
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Biennial	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP, PMO, CICETE,	
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	UNDP, PMO, CICETE,	
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)		UNDP, PMO, CICETE,	
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	UNDP, PMO, CICETE,	



## VII. MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year		RESPONSIBLE PARTY	PLANNED BUDGET		
		2019	2020		Funding Source	Budget Description	Amount in USD
<p><b>Output 1:</b> Exploration of the "Family, Community (School included) and City" model of resilient city and related innovative models using the Lushan County of Ya'an as a pilot;</p> <p><b>Gender Marker:</b> GEN1</p>	<p><b>1.1 Demonstration and promotion of family disaster reduction plan and guidance on furniture fastening and emergency supplies:</b></p> <p>1.1.1 Development of the <i>Guide to Family Disaster Reduction Plan</i> based on the local context of developing regions (the case of Lushan County, Ya'an);</p> <ul style="list-style-type: none"> <li>- Roll out needs assessment for family disaster prevention and reduction in Lushan, Ya'an;</li> <li>- Organize 1-2 seminars to develop guide tools;</li> </ul> <p>1.1.2 Development of guides to furniture fastening and emergency supplies;</p> <ul style="list-style-type: none"> <li>- Roll out county-wide needs assessment for furniture fastening and emergency supplies in Lushan, Ya'an;</li> <li>- Organize 1-2 seminars to develop guide tools;</li> </ul> <p>1.1.3 County-wide outreach and promotion of the Guide to Family Disaster Reduction Plan and Guide to Emergency Supplies across Lushan, Ya'an;</p> <ul style="list-style-type: none"> <li>- Promote the <i>Guide to Family Disaster Reduction Plan</i>, and <i>Guide to Furniture Fastening and Emergency Supplies</i> in Lushan, Ya'an in a step-by-step manner;</li> <li>- Carry out no less than 10 family-oriented outreach and training activities to share knowledge of disaster reduction every year;</li> </ul> <p><b>1.2 Development of implementation pathways for resilient community:</b></p>	\$116,659		Ya'an Social Service Center, One Foundation, BNU, UNDP	Parallel Fund, other cooperating partner	Travel, Questionnaires, Data analysis, Conference, Printing, Communication, Training, Experts, Personnel	\$233,318
		\$160,573		Ya'an Social Service Center, One	Parallel Fund, other cooperating partner	Travel, Questionnaires, Data analysis, Conference,	\$321,146



	<p>1.2.1 Development of a participatory <i>Guide to Community Emergency Plan Development</i> based on the local context of developing regions (the case of Lushan County, Ya'an);</p> <ul style="list-style-type: none"> <li>- Roll out needs assessment for community disaster prevention and reduction in 46 villages/communities of Lushan, Ya'an;</li> <li>- Organize 1-2 seminars to develop guide tools;</li> </ul> <p>1.2.2 Development of guides to setting up community-based first responders (community volunteer rescue team) and capacity building activities;</p> <ul style="list-style-type: none"> <li>- Roll out a baseline survey on community-based first responders (community volunteer rescue team) in 46 villages/communities in Lushan County, Ya'an;</li> <li>- Organize 1-2 seminars to develop community-oriented <i>First Responders (Community Volunteer Rescue Team) Development Guide</i> and <i>Community Emergency Drills Guide</i>;</li> <li>- Organize no less than 10 community-oriented first responders (community volunteer rescue team) capacity building activities each year;</li> </ul> <p>1.2.3 County-wide outreach and promotion of first responders (community volunteer rescue team) system;</p> <ul style="list-style-type: none"> <li>- Carry out outreach and advocacy activities and drills on community disaster prevention and reduction;</li> <li>- Put together a network of the first responders (community volunteer rescue team) in Lushan County, Ya'an;</li> </ul>			Foundation, BNU, UNDP		Printing, Communication, Training, Experts, Personnel	
	<p><b>1.3 Development of safe schools and capacity building for disaster prevention and reduction in schools;</b></p> <p>1.3.1 Development of toolkits such as the <i>Guide to School Emergency Supplies</i> and the <i>Manual of School</i></p>	\$153,758		Ya'an Social Service Center, One Foundation, BNU, UNDP	Parallel Fund, other cooperating partner	Travel, Questionnaires, Data analysis, Conference, Printing, Communication,	\$307,516



	<p><i>Emergency Drills</i> based on the local context of the developing regions (the case of Lushan County of Ya'an);</p> <ul style="list-style-type: none"> <li>Roll out needs assessment for school disaster prevention and reduction in Lushan, Ya'an;</li> <li>Organize 1-2 seminars to develop guide tools;</li> </ul> <p>1.3.2 Outreach and promotion of the use of relevant tools for safe school development;</p> <ul style="list-style-type: none"> <li>Promote toolkits to schools through school disaster reduction activities;</li> <li>Carry out outreach and advocacy activities and drills on school disaster prevention and reduction;</li> </ul>					<p>Monitoring</p>	<p>UNDP CICETE</p>		<p>Training, Experts, Personnel</p>	<p>\$0</p>	<p>\$0</p>
											<p>\$861,980</p>
<p><b>Output 2:</b> Development of pathways for building demonstration/resilient cities on disaster prevention and reduction in China;</p> <p>Gender Marker: GEN1</p>	<p><b>2.1 Establish a community-based special disaster reduction fund in Ya'an;</b></p>			<p>\$0</p>			<p>Ya'an Social Service Center, One Foundation, BNU, UNDP</p>	<p>Government Supporting fund \$145,055</p>	<p>Special Fund for Disaster Reduction</p>	<p>\$0</p>	
	<p><b>2.2 Prepare and develop an overall plan for Ya'an as a resilient city and suggestions for Ya'an innovation development;</b></p>			<p>\$14,505</p>			<p>Ya'an Social Service Center, One Foundation, BNU, UNDP</p>	<p>Parallel Fund, other cooperating partner</p>	<p>Expert. Personnel, Volunteers allowances</p>	<p>\$14,505</p>	
	<p>Monitoring</p>			<p>\$0</p>			<p>UNDP CICETE</p>			<p>\$0</p>	
										<p>\$14,505</p>	
<p><b>Output 3:</b> International promotion of the experience on building resilient city with safety development and the experience of Ya'an;</p>	<p><b>3.1 Based on the in-depth exploration and systematic overview of Ya'an experience, the Ya'an Model Report will be developed and shared on the occasion of a joint conference held in collaboration with UN agencies on "BRI Countries Experience Sharing on National (City) Resilience and Sustainable Development";</b></p>			<p>\$14,505</p>			<p>Ya'an City, One Foundation, BNU, UNDP</p>	<p>Parallel Fund, other cooperating partner</p>	<p>Conference, Volunteer allowances, Experts</p>	<p>\$29,010</p>	
	<p><b>3.2 Carry out 1-2 international study tours on different topics (Japan, USA, etc.).</b></p>			<p>\$0</p>			<p>Ya'an Social Service</p>	<p>TBD</p>	<p>Travel, Experts, Communication</p>	<p>\$14,505</p>	



Gender Marker: GEN1				Center, One Foundation, BNU, UNDP				
	Monitoring	\$0		UNDP CICETE				\$0
	<b>Sub-Total for Output 3</b>							
Evaluation <i>(if applicable)</i>	Monitor & Evaluation	\$9,709		UNDP CICETE		TRAC		\$9,709
Overall Management Support	CICETE (4%)	\$20,000						\$40,000
	CICETE (TRAC 3%)	\$291						\$291
	UNDP (4%)	\$20,000						\$40,000
<b>Total</b>								<b>\$1,010,000</b>

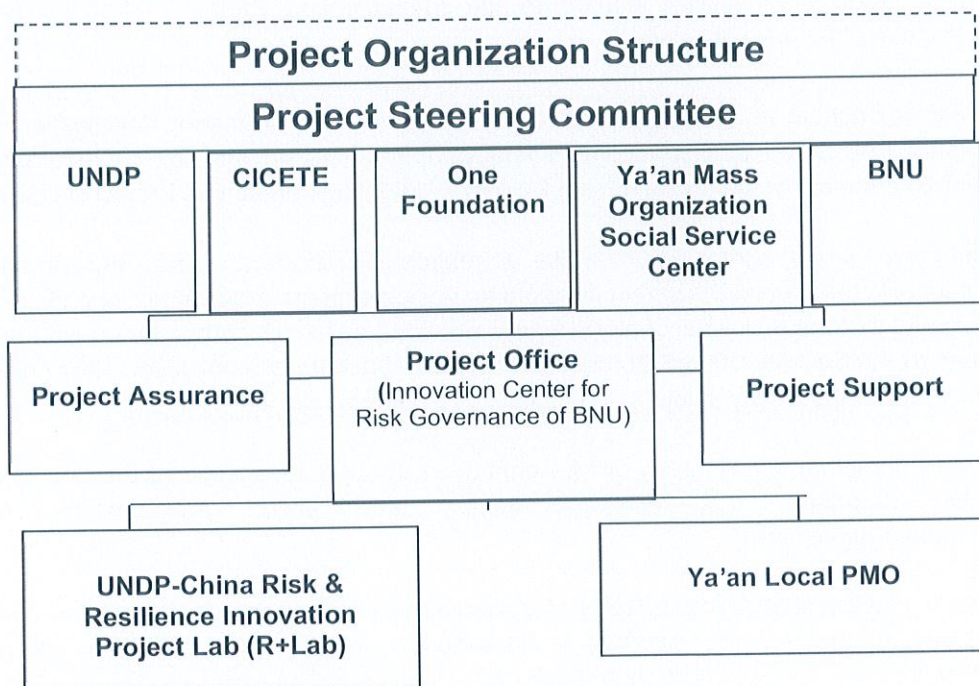


## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will carry out activities in accordance with the *National Implementation by the Government of UNDP Supported Projects: Guidelines and Procedures* and applicable laws and regulations in China. With the authorization of MOFCOM, CICETE as the Implementing Partner of the project, will be responsible for project monitor, coordination and management. UNDP and CICETE will take the lead in project steering committee to engage all committee members to jointly organize project evaluation and monitoring, make major project decisions and provide guidance for project implementation. Under the monitor and coordination of the project steering committee, all implementing entities of the project will be responsible for carrying out project activities to deliver project targets and outputs.

The project will adopt the parallel funding model. The daily funding management of the project, including financial management and annual audit of daily management, will be a responsibility jointly shared by the Innovation Center for Risk Governance of BNU (BNU) as the project secretariat (PMO) and the Ya'an Mass Organization Social Service Center as the local PMO. The daily management of the project will be carried out in accordance with the project document and annual work plans.

The project steering committee will work together to monitor the project for quality assurance of its implementation, which includes evaluation/audit of the project. PMO shall provide quarterly reports on progress and project annual reports to the project steering committee. The project steering committee will organize regular or non-regular supervision and field visits to evaluate project progress and results by looking into the situation through relevant participants, government departments, research institutions and the local community. The relevant agencies will evaluate the progress, results, lessons-learned, challenges and future plans of the project.





---

## 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.

---

## X. RISK MANAGEMENT

### Government Entity (NIM)

1. Consistent with the Article III of the SBAA [*for 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.

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

---

## **XI. ANNEXES**