

revised 5/18/2020

PROJECT DOCUMENT
Federated States of Micronesia (FSM)



Empowered lives.
Resilient nations.

Project Title: Strengthening FSM's Gender Machinery

Project Number:

Implementing Partner: FSM National Government -Department of Health & Social Affairs

Start Date: 2020 **End Date:** 31, December 2023

PAC Meeting date: 1st May 2020

Brief Description

The Federated States of Micronesia (FSM) pledged to bring gender parity to its population through ratification of the Convention on the Elimination of all forms of Discrimination against Women (CEDAW) in 2004, the Pacific Leaders Gender Equality Declaration in 2012 and by endorsing the FSM National Gender Policy in February 2018. Despite Government's commitments to addressing gender equality issues, the progress has been slow. Lack of resources and capacity at the national gender machinery is one of the causes inhibiting the Government's ability to promote, protect and fulfil the rights of 50,000 women and girls in FSM. There is a huge gender gap in the society with very few women in leadership and decision-making positions at the national, state and community level. To date, no woman has ever hold seat in national congress. This is also evident in the sectors that are critical to women's and girls' basic rights and the wellbeing of the entire family e.g. income generation, health, clean water and sanitation. Although, the constitutions of the country both at national and state levels do not discriminate against the female population, the societal norms is such that the roles of women and girls are often confined inside the house with women and girls spending majority of the time caring and nurturing for the families i.e. in domestic and unpaid care work. Even in the formal work setting or in sports, there are very few women. In this context, the proposal, proposes to enhance women and girls leadership role by engaging them and the key partners in gender related policy advocacy, income generation and access to necessary small scale infrastructures working alongside traditional community leaders in sectors of importance to the communities in Pohnpei, Chuuk, Kosrae, and Yap states mainly to improve women and girls agency, access and control over clean water and sanitation services, which according to the World Health Organization (WHO), are the leading causes of diarrhoea and child mortality amongst children under five.

Contributing Outcome

UNPS Outcome 3: By 2022, people in the Pacific, in particular youth, women and vulnerable groups, benefit from inclusive and sustainable economic development that creates decent jobs, reduces multidimensional poverty and inequalities, and promotes economic empowerment.

Indicative Output(s) with gender marker: GEN 3

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

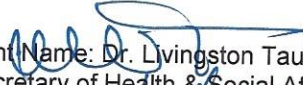
Output 1: Strengthening National gender machinery and oversight functions to improve gender equality (GEN 3)

Output 2: Empowerment of partners in implementation and management of community-based income generation, safe water and sanitation projects for gender equality (GEN3)

Total resources required:		\$1,000,000
Total resources allocated:	UNDP TRAC:	0
	India-UN Development Fund-	\$1,000,000
	Government:	0
	In-Kind:	0
Unfunded:		0



Agreed by (signatures):

UNDP	FSM Government Department of Health & Social Affairs
Print Name:	 Print Name: Dr. Livingston Taulung Secretary of Health & Social Affairs
Date:	Date 5/19/20



I. DEVELOPMENT CHALLENGE

The Federated State of Micronesia (FSM) is one of the countries that have pledged to bring gender parity to its population through its ratification of the Convention on the Elimination of all forms of Discrimination against Women (CEDAW) in 2004 and the Pacific Leaders Gender Equality Declaration in 2012 and in 2018; it endorsed its first National Gender Policy. There are 50,000 women and girls in the FSM. Although, the provisions of the constitutions of the country both at national and state levels do not discriminate against the female population, there are huge gender gaps between men and women.

Despite the FSM Government's commitments to address the prevailing gender equality issues, the progress in meeting the gender commitments have been slow. One of the major constraints is lack of resources and capacities within the national gender machinery greatly inhibiting its ability to promote protect and fulfil the rights of women and girls.

The 2014 study on the prevalence of violence against women in FSM found that one in three women between 15 and 64 years experienced some form of physical and/or sexual violence in their lifetime (FSM FHSS, 2014).



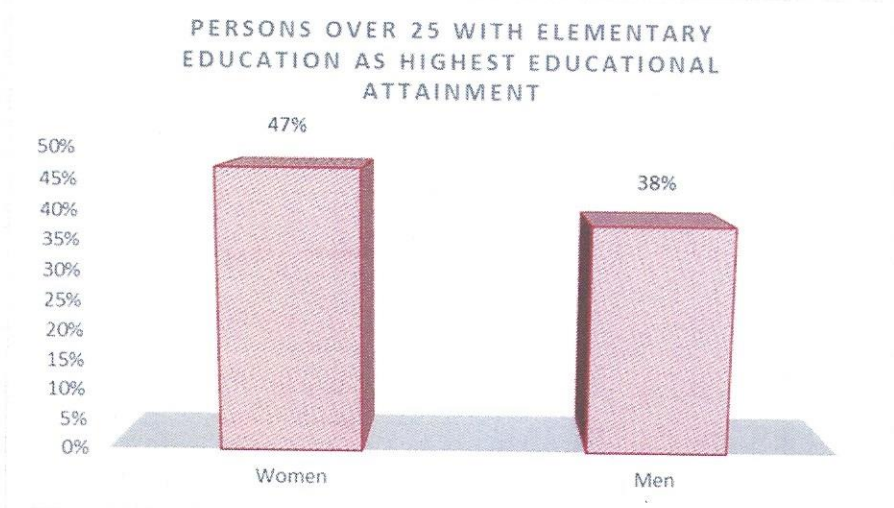
Furthermore, the study also found that 14% of those respondents to the survey were sexually abused before they reached the age of 15.

In terms of political participation, FSM is the only country in the world that has never got woman into its national parliament or congress¹.

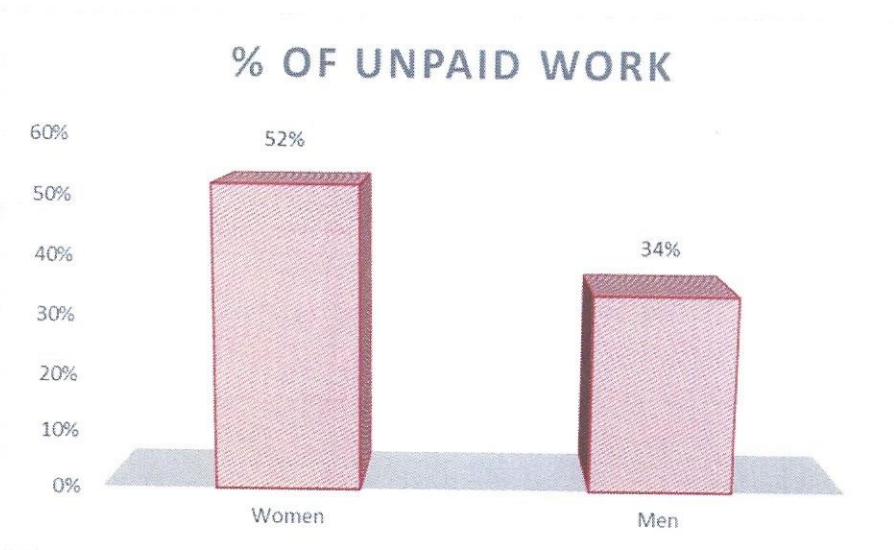


¹ Pacific Women in Politics: FSM <https://www.pacwip.org/country-profiles/fsm/>

On education, about 47% of women aged 25 years and over have elementary education as their highest educational attainment in contrast to the 38% for men in the same age group (FSM 2010 Census).



Regarding economic empowerment, there are 52% percent of women in the FSM that do unpaid work whereas for men it is 34% as per the FSM Social Security data for 2016.

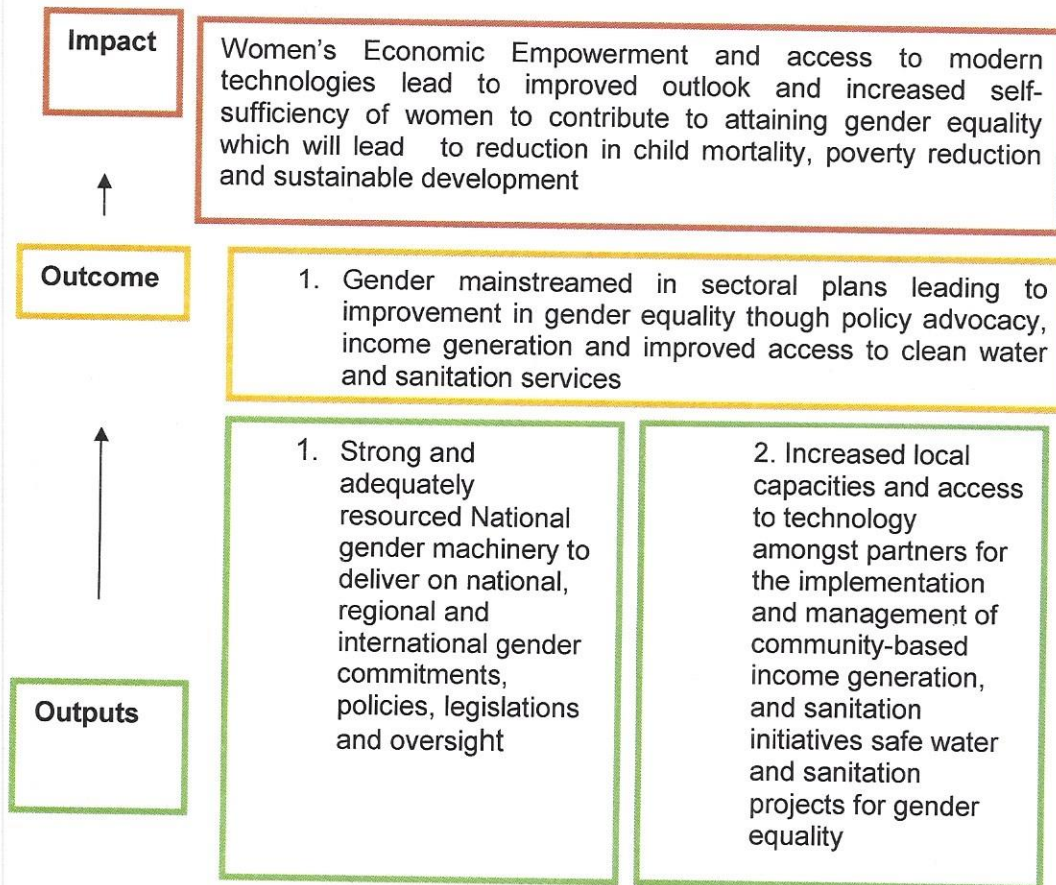


With all the above mentioned challenges, it is evident that without addressing Women's Economic Empowerment, Leadership, gender equality and equity policies, legislations and improvement in basic services such as income generation, safe drinking water and sanitation services, it will be extremely difficult for women and girls to become equal partners and change the community's perception or view of women and girls as equal partners alongside their male counterparts in meeting the SDG aligned national development plans targets and priorities of FSM



II. STRATEGY

Despite FSM's non-discriminatory gender provisions in the country's constitution both at the national and the state level, the progress in meeting the gender commitments have been slow creating huge gender gaps between men and women. One of the major constraints is lack of resources and capacities within the national gender machinery. In this context, the main strategy proposed by the project, is to upgrade capacity and complement resources at the national gender machinery to accelerate progress on FSM's national, regional and international gender commitments, policies, legislations. This will be done mainly by mainstreaming gender in sectoral plans and by strengthening the oversight mechanisms to ensure implementation gender equality strategies and policy for improved gender equality outcomes. Concurrently, the project will build women's leadership through community-based income generation, safe water and sanitation projects. The main outcome envisaged is improved gender equality outcomes through gender mainstreaming in national and sectoral plans and improved access by the women and girls to income generation, clean water and sanitation projects resulting in Women's Economic Empowerment, poverty reduction and sustainable development. The figure below outlines the project's Theory of Chain (TOC), covering outputs to impact:



The Theory of Change is that, If FSM's gender machinery is strengthened to meet national, regional and international gender related policy and legislative commitments, implement, manage and monitor gender responsive policies, legislations, income generation, safe water and sanitation projects then it will lead to women's economic empowerment, support the state level actors to increase access to safe water and modern technologies leading to reduced mortality rate amongst

children below the age of five through reduction in cases of diarrhoea resulting in poverty reduction and sustainable development. The project is in line with United Nations Pacific Strategy (UNPS) Outcome 3 which by 2022 strives to ensure that the people in the Pacific, in particular youth, women and vulnerable groups, benefit from inclusive and sustainable economic development that creates decent jobs, reduces multidimensional poverty and inequalities, and promotes economic empowerment. The project is also in line with UNDP's Sub Regional Project Document (SRPD) and will contribute to Output 3.1 of the SRPD, where the focus is to strengthen the national and local institutions to put in place evidence-based, risk informed and gender-sensitive policies, guiding participatory planning and budgeting processes that are aligned with the SDGs. The assumptions of the project are outlined below:

Assumptions

- Government of FSM mainly Department of Health & Social Affairs remains committed to mobilizing resources for gender projects to meet all the national, regional and international gender related commitments
- FSM Government continues to coordinate across the ministries and departments at the national and state levels to implement, manage and monitor the project
- National and state level partners actively participate and contribute in gender related policy advocacy and legislative changes
- All the project related activities are aligned with FSM National Development Plans, sectoral strategies and gender policies
- Modern water purification, sanitation and waste recycling technologies are affordable and adaptable to FSM context with dependable supply of spare parts and after sales and maintenance services to ensure sustainability of services even upon completion of the project

III. RESULTS AND PARTNERSHIPS

Expected Results

Results that the project intends to accomplish are:

- Strengthened and adequate resourced national gender machinery to mainstream gender in national and state programs.
- FSM women represented at national, regional and international gender platform for women and is to be able to influence, mobilize support and resources to FSM.
- Women, youth and disabled groups will gain skills to generate their income for self - sustenance purposes.
- Community leaders recognize that women and girls are key partners in improving the lives of families and communities and their leadership role in provision of safe water and sanitation services.
- Communities will have safer and cleaner drinking water
- Communities will learn new and emerging ecological purification system.

Resources Required to Achieve the Expected Results

The total expected resource required is US\$100000.00. This amount includes UNDP indirect costs - i.e. headquarters and country office structures in providing General Management Support (GMS) services as a partner to the UN SDG Joint Fund i.e. India Trust Fund.

Partnerships

Partnerships play an important role in this project. The National Government of FSM -Department of Health & Social Affairs will mobilize the following partnerships to implement the project.

- Environmental Protection Agency (EPA) to ensure environmental issues are addressed



- Pohnpei State Government – Dept. of Health & Social Services to deliver on income generation, safe water and sanitation project
- Chuuk NGO -Chuuk Women Association for gender policy advocacy and change
- Yap State Government- Department of Youth & Civic Affairs to deliver on the income generation and safe water and sanitation project
- Kosrae NGO –Kosrae Women Association for women’s empowerment, leadership development and policy advocacy
- FSM Youth Council for policy advocacy
- FSM National Women Council for policy advocacy
- Contractor – Trained on Ecological Purification System for the delivery and the implementation of the water purification project in the communities.

Risks and Assumptions

Tentatively there are three most significant risks and associated impact, mitigation measures and they are as follows:

- Key Risk 1 – Limited and expensive inter-island transportation
 - Impact:* Regular access by boat to the Outer Islands is limited, which can cause delays in project implementation and regular monitoring. In addition, transportation costs are often prohibitive, which increase the costs of trainings and services
 - Mitigation measures:* Coordination with other initiatives planning including the possibility of joint transportation/cost-sharing and remote communication/support such as web based formats
- Key Risk 2 – Natural Disasters
 - Impact:* Delays in project implementation and infrastructures and targeted communities are temporarily displaced.
 - Mitigation measures:* To the extent possible, major project activities will be undertaken outside of the cyclone season.
- Key Risk 3 – Covid -19
 - Impact:* Delays in project implementation and targeted communities are in self isolation.
 - Mitigation measures:* To the extent possible, major project activities will be undertaken maintaining social distancing using appropriate technologies that are adaptive to the situation on the ground.



Refer to a full initial risk log in Annex XI.3.

Stakeholder Engagement

In the last few years, the operational budget allocated for the national gender machinery was consistently at \$12,000 with only one staff dedicated for this area of work, therefore, the contribution from India fund will greatly enhance the gender machinery’s ability to mainstream gender and foster inter-ministerial and inter department coordination and collaborations at the national and state level. Additionally, with the added capacity and technical support from UNDP, FSM government will proactively look for additional donor partners and programs to engage the most vulnerable populations and their representative national and regional organizations e.g. women and girls, youth, and persons with disabilities as these groups of people continuously struggle for sustainable income. To date, in FSM, 52% of women and girls are engaged in unpaid work, and there is 49.5% unemployment rate for female youth aged between 15-24 compared to

male counterpart which stands at 41.7%. The situation is even worse for the females with disabilities as they continuously struggle to engage in conversations related to policies, legislative changes and program planning for gender equality and equity in FSM.

South-South and Triangular Cooperation (SSC/TrC)

The project is funded by the India-UN Development Partnership Fund that was established in 2018. This is a sub-window of the India-UN Development Partnership Fund, a facility within the United Nations Fund for South-South Cooperation (UNFSSC). It is supported and lead by the Government of the Republic of India and implemented in collaboration with the UN system. Allocation of resources from this dedicated facility for specific projects is decided by the Board of Directors of the India-UN Development Partnership Fund. Projects supported by this facility advance the implementation of the Sustainable Development Goals (SDGs) through concrete initiatives in response to cooperation requests made by other developing countries who are members of the Commonwealth. These include countries who are located on different continents and are currently categorized as least developed countries (LDCs), landlocked developing countries (LLDCs), and small island developing states (SIDS).

Knowledge

Knowledge products include various gender related policy briefs for policy advocacy and legislative changes. Project visibility will include spots on Radio FSM, and articles on UNDP websites and UN Joint Fund homepage.

Sustainability and Scaling Up

Sustainability is facilitated through various technical, institutional and financial measures: i) Gender policy ratification and legislative changes on issues such as domestic violence, sexual harassment etc. will greatly accelerate progress on SDG 5 i.e. gender equality ii) As highlighted earlier, FSM government with support from UNDP will continuously engage other UN Agencies and donor programming for scaling up gender equality, water and sanitation issues in FSM especially at a time when pandemics such as COVID 19 is shedding light on the importance and need for clean water and sanitation services in controlling the spread of the disease amongst the globally connected countries. Additionally, the lessons from this project potentially can be useful for other PICs.

IV. PROJECT MANAGEMENT

Project Management

The project will be implemented and managed following UNDP's National implementation modality (NIM) according to the Standard Basic Assistance Agreement (SBAA) between UNDP, the Government of FSM and the Country Programme, but supplemented by UNDP Country Office (CO) support arrangement as per applicable UNDP policies and procedures. The project will be implemented by National Government of FSM-Department of Social Affairs, who will identify a full time Project Manager to increase project administration and quality. Additionally, the project will collaborate with the respective states and the CSOs to implement and manage the project activities.

Cost Efficiency and Effectiveness

To save time and cost, UNDP office at the request of FSM government request could share best practices on the procurement of water purification technologies and quality assurances and work closely with other UN agencies that work on gender equality, water and sanitation issues e.g. UN Women and UNICEF to ensure cost efficiency and to improve project effectiveness.



V. RESULTS FRAMEWORK

Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets: By 2022, people in the Pacific, in particular youth, women and vulnerable groups, benefit from inclusive and sustainable economic development that creates decent jobs, reduces multidimensional poverty and inequalities, and promotes economic empowerment

Applicable Output(s) from the UNDP Strategic Plan: National and local institutions enabled to put in place evidence-based, risk informed and gender-sensitive policies, guiding participatory planning and budgeting processes and aligned with SDGs.

Project title and Atlas Project Number: Strengthening FSM's Gender Machinery

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS	DATA COLLECTION METHODS & RISKS
			Value	Year		
Output 1 Strong and adequately resourced National gender machinery to deliver on national, regional and international gender commitments, policies, legislations and oversight	1.1 No. of staff working at the national gender machinery	Project verification report	1	2020	2	Observations, documents/records
	1.2 # of gender equality legislations drafted and presented to the parliament	Field visit				
	1.3 Percentage increase in the budget of national gender machinery	Project financial reports and departments budget	USD 12000	2020	100%	Observations, financial reports
	1.4 No. of gender policy advocacy, gender review and monitoring events and trainings organized	Back to the office reports, media scanning	0	2020	3	Observations, documents/records
Output 2 Increased local capacities and access to technology amongst partners for the implementation and management of community-based income generation and water sanitation initiatives	2.1 No. gender policy briefs and manuals on women's economic empowerment and income generation activities undertaken	Reports and policy briefs	0	2020	5	Documents/records
	2.2 No. of people trained in income generation, water and sanitation improvement initiatives	Training workshop reports	0	2020	45	Documents/records (attendance and evaluation forms)
	2.3 No of people with increased income and access to clean water and sanitation services	Field visits				
	2.4 No. of water purification systems installed and in operation at the community level	Project verification report	0	2020	2	Observations, documents/records
	Field visit					



VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring plan:

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track Results Progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	Department of social affairs with support from FSM national government and UNDP	
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.	Department of social affairs with support from FSM national government and UNDP	
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.	Department of social affairs with support from FSM national government and UNDP	
Quality Assurance (QA)	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.	At the end of the project, i.e. Closure QA.	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	Department of social affairs with support from FSM national government and UNDP	
Review and	Internal review of data and evidence from all monitoring	At least	Performance data, risks, lessons and	Department of	



<p>Make Course Corrections</p>	<p>actions to inform decision making.</p>	<p>Annually.</p>	<p>quality will be discussed by the project board and used to make course corrections.</p>	<p>social affairs support from national government and UNDP</p>	
<p>Report</p>	<p>A yearly progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.</p>	<p>End of the project, i.e. final report.</p>		<p>Department of social affairs support from national government and UNDP</p>	
<p>Project Review (Project Board)</p>	<p>Monthly updates on progress (no more than 2-3 bullet points) will be emailed to UNOSSC (Secretariat and Fund Manager).</p> <p>The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.</p>	<p>Monthly.</p>		<p>Department of social affairs support from national government and UNDP</p>	
		<p>Biannually.</p>	<p>Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.</p>	<p>Department of social affairs support from national government and UNDP</p>	



VII. MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (USD)	RESPONSIBLE PARTY	PLANNED BUDGET		
				Funding Source	Budget Description Amount	
Output 1: Strong and adequately resourced National gender machinery to deliver on national, regional and international gender related commitments, policies, legislations and oversight GEN 3	1.1 Hire Project Manager to support FSM Chief Social Affairs and gender development officer to implement, manage and monitor gender equality projects	75,000	FSM Govt	India-UN Development Partnership Fund	Long term contractor for Project Manager 75,000.00	
	1.4 Undertake training and monitoring visits including supervision of work by partners and Contractor(s) in four states	20,000	FSM Govt	India-UN Development Partnership Fund	Travel Tickets – Local, Daily Subsistence Allowance – Local 20,000.00	
	1.5 Organize and support gender policy advocacy events, workshops and consultative meetings engaging the stakeholders for drafting the gender policies and sensitization/training activities related to introduce gender related legislative changes in the parliament	70,000	FSM Govt households	India-UN Development Partnership Fund	Visuals, workshop venue and catering, print materials and etc. 70,000	
	1.6 Organize and support gender equality scholastic games for youth to foster national pride and gender equality.	70,000	FSM Govt	India-UN Development Partnership Fund	Travel Tickets – Local, Daily Subsistence Allowance – Local 70,000	
	Sub-Total for Output 1					235,000
	Output 2: Increased local capacities and access to technology amongst partners for the implementation	2.1 Support Chuuk State with equipment, trainings/cash for work, income generation, product value adding, branding and communication	133,178	Successful contractor	India-UN Development Partnership Fund	Raw materials, allowance, training costs, and venue rental and catering 133,178



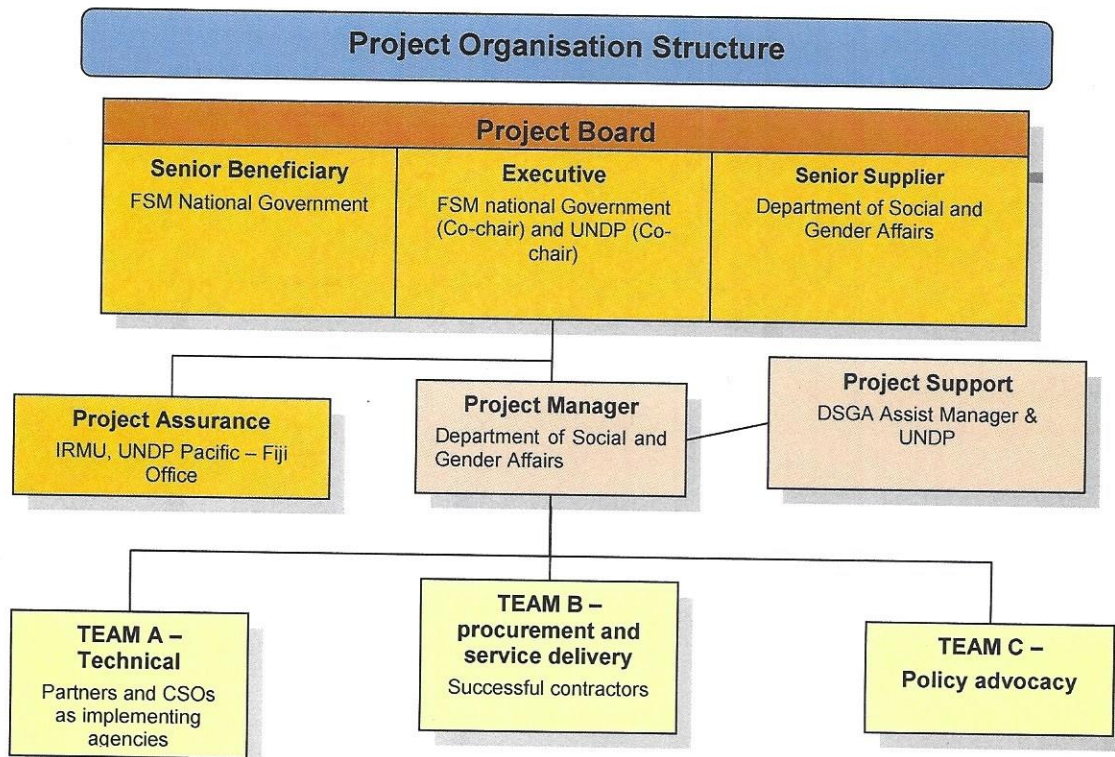
<p>and management of community-based water and sanitation initiatives</p> <p>Gender marker: GEN</p> <p>3</p>	<p>2.2 Upgrade Kosrae state water and sanitation infrastructure facilities and support training/cash for work of the beneficiaries</p>	131,964	FSM Govt		Raw materials for water and sanitation infrastructure facilities, training, catering, allowance and etc.	131,964
	<p>2.3 Support Pohnpei state with raw materials, equipment and trainings/cash for work for income generation, marketing and communication</p>	45,000	Successful contractor	India-UN Development Partnership Fund	Raw materials for income generation projects, allowance, visuals and etc.	45,000
	<p>2.4 Support Pohnpei to procure equipment and transportation for cleaning landfill and waste recycling services and related capacity building trainings/cash for work</p>	30,000	FSM Govt	India-UN Development Partnership Fund	Travel Tickets – Local, Daily Subsistence Allowance – Local	30,000
	<p>2.5 Expansion of water supply in Pohnpei to the outer communities who are not currently on the main waterline.</p>	236,858	FSM Govt	India-UN Development Partnership Fund	Equipment and services to expand water supply	236,858
	<p>2.6 Support Yap state with procurement of raw materials, equipment for income generation activities and relevant trainings/cash for work</p>	78,000	FSM Govt	India-UN Development Partnership Fund	Raw materials for income generation projects, allowance, visuals and etc.	78,000
	<p>2.7 Train and procure ecological water purification equipment and services</p>	30,000	FSM Govt	India-UN Development Partnership Fund	Travel tickets, -local, daily subsistence allowance, materials/equipment for ecological water purification	30,000



Sub-Total for Output 2						685,000
Contingencies and UNDP M&E and final evaluation (5%)		50,000	UNDP	India-UN Development Partnership Fund		50,000
UNDP General Management Support (3%)		30,000	UNDP	India-UN Development Partnership Fund		30,000
TOTAL						80,000
						1,000,000



VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



The governance and management arrangements are illustrated in the diagram above, elaborated in the text below and detailed in the annexes for the Project Board, Manager, Support and Assurance respectively.

Project Board

Overall responsibilities. The Project Board is the group responsible for making by consensus management decisions for a project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards that shall ensure best value to money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Resident Representative. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when Project Manager tolerances (normally in terms of time and budget) have been exceeded. Based on the approved annual work plan (AWP), the Project Board may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities.

Composition and organization. This group contains three roles, including:

- *Executive* representing the project ownership to Chair the group. The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior



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

- *Senior Supplier* representing the interests of the parties concerned which provide technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project; and,
- *Senior Beneficiary* representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

Refer to Annex XI.4 for detailed information on the responsibilities of the Project Board. The Board will meet biannually (or more frequently if required).

Project Manager

The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the Project Document, to the required standard of quality and within the specified constraints of time and cost. Refer to Annex XI.5 for detailed information on the responsibilities of the Project Manager.

Project Support

The Project Support role provides project administration, management and technical support to the Project Manager as required. Refer to Annex XI.6 for detailed information on the responsibilities of the Project Manager.

Project Assurance

Project Assurance is the responsibility of each Project Board member however the role can be delegated. The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. Refer to Annex XI.7 for detailed information on the responsibilities of the Project Assurance role.



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 FSM and UNDP. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by the FSM Government, Department of Health and Social Affairs 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

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



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

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

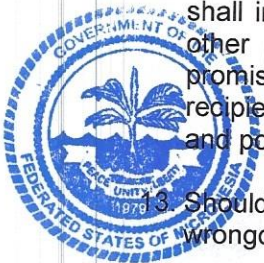
11. The Implementing Partner agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of this Project Document, may seek recourse to the Implementing Partner for the recovery of any 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.

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

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

12. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national



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

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



XI. ANNEXES

Annex XI.1 Project Quality Assurance Report

(Available separately)



Annex XI.2 Social and Environmental Screening Template

Project Information

Project Information	
1. Project Title	Strengthening the FSM's national gender machinery
2. Project Number	
3. Location (Global/Region/Country)	FSM

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

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

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

A human rights approach is 'a conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights. It seeks to analyse inequalities which lie at the heart of development problems and redress discriminatory practices and unjust distributions of power that impede development progress' (<http://hrbportal.org/tag>). The expected short-term development change from this project is household and community access to and reporting on key gender related policies such as sexual harassment, violence and harassments against women and children and access to clean and safe water and sanitation services, as under the United Nations Charter, nations of the world pledge to promote improved standards of living and conditions conducive to economic and social development.

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

The proposal supports strengthening of FSM's gender machinery and its oversight to accelerate progress on gender equality. The project will support implementation of some of the key gender policies such as sexual harassment, violence against women and children and improve access to clean water and sanitation services while also supporting income generation projects at the community level to enhance women's leadership role and participation in community related public affairs which are currently led and driven by men in traditional leadership.

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

Environmental sustainability considerations will be reflected in selection of community based income generation projects and technology transfer of water purification systems by ensuring that they are safe and environmentally friendly with proper training, awareness, use, maintenance and disposal of waste bearing on the full life cycle of the products and services. The project is also proposing cleaning, collection and responsible disposal of waste that are accumulating on the rural islands through proper transportation and landfill activities to improve the sanitation and hygiene in the targeted communities.



Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>	
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</p>
<p>Risk 1: Unsafe and environmentally risky water purification and sanitation services component specifications</p>	<p>I = 5 P = 1</p>	<p>Moderate</p>	<p>Feasibility assessment will include environmental aspects as per FSM EIA Regulations.</p>
<p>Risk 2: Unsafe and environmentally risky waste management, landfill and waste recycling practices</p>	<p>I = 5 P = 1</p>	<p>Moderate</p>	<p>Installation will adhere to the latest version of the water purification Installation Guidelines</p>
<p>Risk 3: Unsafe and environmentally risky operation and maintenance practices of water and sanitation facilities</p>	<p>I = 5 P = 1</p>	<p>Moderate</p>	<p>Training of users and state level project staff will be planned and undertaken.</p>
<p>Risk 4: Vulnerable groups are unable to attend the income generation activities, trainings/cash for work</p>	<p>I = 2 P = 2</p>	<p>Moderate</p>	<p>The information about the project will be disseminated via various means of communications to ensure that the vulnerable are aware of the project</p>
<p>QUESTION 4: What is the overall Project risk categorization?</p>			
<p>Select one (see <u>SESP</u> for guidance)</p>		<p>Comments</p>	
<p><input type="checkbox"/> Low Risk</p>		<p><input type="checkbox"/></p>	
<p><input checked="" type="checkbox"/> Moderate Risk</p>		<p><input checked="" type="checkbox"/></p>	



		High Risk	Comments
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
Check all that apply			
<i>Principle 1: Human Rights</i>			
<i>Principle 2: Gender Equality and Women's Empowerment</i>			
X			
<i>1. Biodiversity Conservation and Natural Resource Management</i>			
<i>2. Climate Change Mitigation and Adaptation</i>			
<i>3. Community Health, Safety and Working Conditions</i>			
<i>4. Cultural Heritage</i>			
<i>5. Displacement and Resettlement</i>			
<i>6. Indigenous Peoples</i>			
<i>7. Pollution Prevention and Resource Efficiency</i>			

Final Sign Off

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



SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ²	
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	

² Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities such as transgender people and transsexuals.



1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	
1.4	Would Project activities pose risks to endangered species?	
1.5	Would the Project pose a risk of introducing invasive alien species?	
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ³ greenhouse gas emissions or may exacerbate climate change?	
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with	



³ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

	national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	
5.3	Is there a risk that the Project would lead to forced evictions? ⁴	
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	



⁴ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	
7.3	<p>Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?</p> <p><i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i></p>	
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	





Annex XI.3 - Risk Analysis

#	Description	Date Identified	Type	Impact & Probability	Countermeasures/Mingt response	Owner	Submitted, updated by	Last Update	Status
1	Limited inter-island transportation	During design	Operational	Regular access by boat to the Outer Islands is limited, which can cause construction delays. In addition, transportation costs are often prohibitive, which increase the costs of installation. P = 3 I = 3	Coordination with other initiatives planning including the possibility of joint shipment/cost-sharing.	Project Manager	N/a	N/a	N/a
2	COVID 19	During design	Operational	Although there is no case of COVID 19 in FSM the global economic shut down is affecting employment opportunities	The trainings will also have cash for work component	Project Manager	N/A	N/A	N/A
3	Natural disasters	During design	Environmental	Delays to construction and trainings P = 2 I = 5	To the extent possible, the work will be undertaken outside of the cyclone season.	Project Manager	N/a	N/a	N/a
4	Political change	During design	Political	Change in political leadership can result in the new administration not being supportive of the project P = 2 I = 2	The following will facilitate that the project will survive changes in government: i) raise the project profile and advocate for project benefits right from the outset; ii) involve key national and local stakeholders including update on progress regularly; and iii) engage key national and policy stakeholders in activities. In addition the fact that development partners such as UNDP support the project financially will mitigate this risk.	Project Manager	N/a	N/a	N/a
5	No or limited coordination with other relevant national and	During design	Organizational	Nor or limited coordination can lead to duplication of efforts and associated	One of the overall strategies for the project is building on the work of others. The project will work diligently and proactively to arrange appropriate	Project Manager	N/a	N/a	N/a

	regional projects			inefficiencies. P = 2 I = 2	complementary and joint activities and where relevant develop practical follow-up activities.				
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Annex XI.4 – Terms of Reference for Project Board

Overall responsibilities: The Project Board is the group responsible for making by consensus management decisions for a project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards that shall ensure best value to money, fairness, integrity transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Programme Manager. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when Project Manager tolerances (normally in terms of time and budget) have been exceeded.

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

Composition and organization: This group contains three roles, including:

- 1) An Executive: individual representing the project ownership to chair the group.
- 2) Senior Supplier: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project.
- 3) Senior Beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

Potential members of the Project Board are reviewed and recommended for approval during the LPAC meeting. For example, the Executive role can be held by a representative from the Government Cooperating Agency or UNDP, the Senior Supplier role is held by a representative of the Implementing Partner and/or UNDP, and the Senior Beneficiary role is held by a representative of the government or civil society. Representative of other stakeholders can be included in the Board as appropriate.

Specific responsibilities:

Defining a project

- Review and approve the Initiation Plan (if such plan was required and submitted to the LPAC).

Initiating a project

- Agree on Project Manager's responsibilities, as well as the responsibilities of the other members of the Project Management team;
- Delegate any Project Assurance function as appropriate;
- Review the Progress Report for the Initiation Stage (if an Initiation Plan was required).



- Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

Running a project

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions;

Closing a project

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

Executive

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

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

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



The Executive is responsible for overall assurance of the project as described in Annex X.5 – Terms of Reference for Project Assurance. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets

and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness the role should not be split between too many people.

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

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

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

- Specification of the Beneficiary's needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

Where the project's size, complexity or importance warrants it, the Senior Beneficiary may delegate the responsibility and authority for some of the assurance responsibilities (see also Annex X.5 – Terms of Reference for Project Assurance).

Senior Supplier

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

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

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

If warranted, some of this assurance responsibility may be delegated.



Annex XI.5 – Terms of Reference for Project Manager

Overall responsibilities: The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner appoints the Project Manager, who should be different from the Implementing Partner's representative in the Outcome Board. Prior to the approval of the project, the Project Developer role is the UNDP staff member responsible for project management functions during formulation until the Project Manager from the Implementing Partner is in place.

Specific responsibilities would include:

Overall project management:

- Manage the realization of project outputs through activities;
- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the Project Board or its appointed Project Assurance roles to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Liaise with any suppliers;
- May also perform Team Manager and Project Support roles;

Running a project

- Plan the activities of the project and monitor progress against the initial quality criteria.
- Mobilize goods and services to initiative activities, including drafting TORs and work specifications;
- Monitor events as determined in the Monitoring & Communication Plan, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments, or reimbursement using the FACE (Fund Authorization and Certificate of Expenditures);
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports;
- Manage and monitor the project risks as initially identified in the Project Brief appraised by the LPAC, submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log;
- Be responsible for managing issues and requests for change by maintaining an Issues Log.
- Prepare the Project Quarterly Progress Report (progress against planned activities, update on Risks and Issues, expenditures) and submit the report to the Project Board and Project Assurance;
- Prepare the Annual review Report, and submit the report to the Project Board and the Outcome Board;
- Based on the review, prepare the AWP for the following year, as well as Quarterly Plans if required.

Closing a Project

- Prepare Final Project Review Reports to be submitted to the Project Board and the Outcome Board;



- Identify follow-on actions and submit them for consideration to the Project Board;
- Manage the transfer of project deliverables, documents, files, equipment and materials to national beneficiaries;
- Prepare final CDR/FACE for signature by UNDP and the Implementing Partner.



Annex XI.6 – Terms of Reference for Project Support

Overall responsibilities: The Project Support role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance.

Specific responsibilities: Some specific tasks of the Project Support would include:

Provision of administrative services:

- Set up and maintain project files
- Collect project related information data
- Update plans
- Administer the quality review process
- Administer Project Board meetings

Project documentation management:

- Administer project revision control
- Establish document control procedures
- Compile, copy and distribute all project reports

Financial Management, Monitoring and reporting

- Assist in the financial management tasks under the responsibility of the Project Manager
- Provide support in the use of Atlas for monitoring and reporting

Provision of technical support services

- Provide technical advices
- Review technical reports
- Monitor technical activities carried out by responsible parties



Annex XI.7 – Terms of Reference for Project Assurance

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

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

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

- Maintenance of thorough liaison throughout the project between the members of the Project Board.
- Beneficiary needs and expectations are being met or managed
- Risks are being controlled
- Adherence to the Project Justification (Business Case)
- Projects fit with the overall Country Programme
- The right people are being involved
- An acceptable solution is being developed
- The project remains viable
- The scope of the project is not “creeping upwards” unnoticed
- Internal and external communications are working
- Applicable UNDP rules and regulations are being observed
- Any legislative constraints are being observed
- Adherence to RMG monitoring and reporting requirements and standards
- Quality management procedures are properly followed
- Project Board’s decisions are followed and revisions are managed in line with the required procedures

Specific responsibilities would include:

Initiating a project

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

Running a project

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



- Ensure that the Project Data Quality Dashboard remains “green”

Closing a project

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

