

UNITED NATIONS DEVELOPMENT PROGRAMME

**PROJECT DOCUMENT**



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**Project Title:** Strengthening partners for a sustainable plastic life-cycle management

**Project Number:** 00126722

**Implementing Partner:** Ministry of Tourism, Environment and Culture

**Start Date:** 28<sup>th</sup> April 2021

**End Date:** 31<sup>st</sup> December 2021

**PAC Meeting date:** 18<sup>th</sup> May 2021

**Brief Description**

UNDP in partnership with Ministry of Tourism, Environment and Culture (MTEC) are implementing a project on strengthening partnership on sustainable plastic life-cycle management in Lesotho. The aim of the project is to complement efforts of the Government of Lesotho in encouraging behavioural change for responsible production and consumption patterns (SDG 12). In addition, the project aims to educate Basotho on the impacts of plastic on the environment, methods in which plastic can be used to great livelihoods, as well as finding alternatives to plastic use. This will be realized through working with a broad range of partners to agree on a menu of possible solutions including refusing and reducing of single use plastic in commercial and corporate spaces and enabling the re-use, repurposing, and recycling of plastic waste.

The project will be piloted in Maseru and Maputsoe Urban Councils. However, the project will have a nationwide impact since most of the activities will spill over to other areas beyond the pilot areas. To strengthen partners, UNDP together with MTEC have identified Ministry of Local Government and Chieftainship, Maseru City Council, Maputsoe Urban Council, Ministry of Health, Bureau of Statistics, Street vendors associations, and Consumer Protection Association as implementing partners in the success of the project.

Contributing Outcome (UNDAF/CPD, RPD or GPD):

Indicative Output(s) with gender marker<sup>2</sup>:

<b>Total resources required:</b>	US\$ 500,000	
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	US\$ 500,000
	<b>Donor:</b>	
	<b>Government:</b>	
	<b>In-Kind:</b>	
<b>Unfunded:</b>		

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

Messie Golakai

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

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

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*Mabulana Ts*

Government	UNDP	Implementing Partner
Print Name: MIAMEO NTEVE	Print Name: Nessie Golakai	Print Name:
Date:	Date: 01-Sep-2021	Date:

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*Mabulara T*

## **I. DEVELOPMENT CHALLENGE (1/4 PAGE – 2 PAGES RECOMMENDED)**

Lesotho, is no exception to rapid urbanization and increasing urban waste within a context of weak infrastructure often resulting in poor urban solid waste management. In 2012 plastic waste was estimated at only 5% of the total waste generated in Maseru. Today it is more evident due to indiscriminate dumping on roadsides, markets and other public places often resulting in a hazardous environment to plant, animal and human species. With COVID health requirements, which mandate single use of medical gloves and PPEs for health practitioners and other frontline workers, it is anticipated that plastic waste volumes will increase globally and within Lesotho.

The country hosts a number of sources of large rivers which feed into both the Atlantic and Indian Oceans. The country is also an exporter of water to more drought prone areas of Southern Africa. Nascent industries such as trout fishing, meat packaging and poultry production are dependent on pure water sources for quality products. With about 90% of plastic pollution in the oceans estimated to come from major rivers, Lesotho must be part of the global solution to address plastic waste in water bodies, rivers and oceans. With intensity of rains and flooding expected to increase in the coming years due to climate change, plastic clogs of stormwater drainages, water streams and reservoirs could amplify flood disasters and pose a serious environmental danger to both human and animal health. In addition to toxic substances released from plastic waste dumped into poorly managed landfills and dumping sites, dangerous gases including GHG gases such as methane and carbon dioxide emitted from such sites pose hazards to communities as they are reportedly linked to loss of life and property as result of associated explosions and contamination of water sources. In 2019, Lesotho received 1.2 million tourists generating 16.2% of GDP.

Lesotho's scenic landscape is the biggest attraction for the tourist. Tourism is an economic growth sector that employs over 20,00 persons, majority of whom are women and youth. It supports small scale creative enterprises and provides additional jobs in the wider hospitality industry. The indiscriminate dumping of plastic and other waste across this scenic vista, has the potential to reverse the gains and curtail the potential of the industry.

## **II. STRATEGY (1/2 PAGE - 3 PAGES RECOMMENDED)**

The proposed project aims to support partnership building and advocacy on plastic life-cycle management and encourage behavioral change for responsible production and consumption patterns (SDG 12). This will be realized through working with a broad range of partners to agree on a menu of possible solutions including refusing and reducing of single use plastic in commercial and corporate spaces and enabling the re-use, repurposing and recycling of plastic waste. This will be anchored on evidenced based research to inform the articulation of policy options for sustainable plastic management. Building on lessons learnt from UNDP-SGP campaign on "Recycling of solid waste management and greening of five schools in Maseru Urban areas", the project will scale up awareness on plastic life-cycle management in schools and wider community in Maseru and Maputsoe.

The project explores the applicability of existing plastic waste management models already in place such as aggregation facilities for plastic sorting and recycling for livelihood creation. The project will work towards improving such models by strengthening capacities of key players and establishing a viable value chain around plastic recycling and re-purposing. Mapping local solutions to integrating plastic in recycling initiatives will further encourage communities to become involved in plastic waste management, hence promote economic activities targeting disadvantaged communities especially those residing around dumping sites.

The initiative will seek to partner with the UK High Commission and other government, private sector and civil society partners whose priority focus is on plastic recycling and the ongoing Government "Hloekisa Lesotho" translated as "Keep Lesotho Clean" campaign. It will build on existing partnership within the Lesotho Supplier Development Programme to mobilize collaboration with the private sector for refuse, reduction and reuse of plastics. Additional partners will include

Maseru and Maputsoe City Councils, civil society for advocacy and behavioral change in communities and academia to support research and development of plastic waste products with potential for commercialization.

### III. RESULTS AND PARTNERSHIPS (1.5 - 5 PAGES RECOMMENDED)

#### ***Expected Results***

***The purpose of the plastic waste management project is to*** support partnership building and advocacy on plastic life-cycle management and encourage behavioral change for responsible production and consumption patterns (SDG 12). This will be realized through working with a broad range of partners to agree on a menu of possible solutions including refusing and reducing of single use plastic in commercial and corporate spaces and enabling the re-use, repurposing and recycling of plastic waste. The project will demonstrate the following attributes:

- Encourage behavioral change for responsible production and consumption patterns (SDG 12)
- Strengthen partnership in the waste management situation in Lesotho
- Strengthening capacities of key players and establishing a viable value chain around plastic recycling and re-purposing
- Mapping local solutions to integrating plastic in recycling initiatives will further encourage communities to become involved in plastic waste management
- Promote economic activities targeting disadvantaged communities especially those residing around dumping sites

The project is expected to influence the plastic waste management regulatory framework, where the plastic levy will be enacted into law

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

A technical team from various stakeholders will be formed so as to implement the outlined project activities. Activities will be divided amongst the team, with those comparative advantage of some activities assigned to lead. There will be support from the rest of the team. There will also be use of local governance structures at community level for advocacy and awareness and monitoring on activities.

#### ***Partnerships***

The main partner for UNDP in implementing the plastic waste management project, is the Government of Lesotho, through the Ministry of Tourism, Environment and Culture. This will ensure ownership and sustainability of implemented activities. Further, UNDP will partner with other government partners mainly Ministry of Local Government and Chieftainship, as it is a ministry that is mandated to deal and handle waste at community level. Other partners government, private sector and civil society and international organizations will be engaged as they are already strategizing and operating in the waste management areas. In the process, UNDP will seek long term partnerships from different stakeholders within and outside the country to implement and support identified activities tackling plastic waste and later it is hoped that the initiatives will be scaled through development policy and programmes with government, private sector, or development partners. UNDP Lesotho will continuously will engage and explore partnerships with academia to exploit knowledge and expertise that would facilitate realisation of this project. The knowledge sharing be extended to the private sector, civil society, communities and government partners

**Risks and Assumptions**

Risk	Severity (/5)	Likelihood (/5) Mitigation factors	Mitigation factors (/5)
Covid-19	5	4	This risk will be mitigated by developing a COVID Action Plan during project implementation that will among others be informed by lessons learnt from other ongoing environment-related projects and COVID protocols recommended by WHO and local authorities
Apathy on the part of stakeholders and reluctance by consumers/households to adjust behaviour to integrate sustainable plastic life-cycle management	3	4	As a mitigation measure, the awareness raising and advocacy to ensure adequate evidence of direct and indirect impact on livelihood and health and need for proactive initiatives
Insufficient national capacity for recycling	4	3	a regional outlook tapping into South African capacities would be employed

**Stakeholder Engagement**

The plastic waste management project will be working with a range of stakeholders and target groups.

- The key stakeholders will be government through the Ministry of Tourism, Environment and Culture, Ministry of Local Government and Chieftainship, Ministry of Health and Ministry of Development Planning. These stakeholders will be part of the project steering committee as they will be part the planning process and workplan formulation. The government stakeholders are vital in the project as they will assist in the policy aspect in the implementation, as well as the sustainability of the project beyond its life line. This will be achieved through incorporating planned activities into government policies and on going initiatives.
- Civil society is an an essential building block of development and national cohesion. It is also fills the space untouched by government and the private sector. For the purpose of the project, they will delivery advocacy and awareness messages to the target groups that is often lft behind in development.
- Tapping into the knowledge and expertise of the private sector in waste management will be priority. The xpertise will be used to strengthen the proposed activities as well as sustaining them beyond the project life as there will be knowledge transfer as well as formed partnerships.
- The project is aimed as changing the lives of individuals at their communities, these makes them key stakeholders who will be engaged throughout. Community sensitisation workshops and trainings will be held. Knowledge sharing platforms will be established so as to learn about on going initiatives at community level. These strategies will assist in the identified groups intended to be beneficiaries, that being youth, women, people living with disabilities, consumer associations and street vendors among others.

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

The project the South-South and Triangular Cooperation through creation of collaborations and partnerships with private sector and organisation beyond the borders of Lesotho, mainly South Africa and other UN agencies. The project will tap into the experience from the various partnerships so as to improve the project activities and implementation process

#### ***Knowledge***

The plastic waste management project will use radios to share knowledge and information around the project. Above that, radios will also be used to educate people on the impacts of plastic waste on the environment as well as sharing the livelihood opportunities that exist. There will also be TV shows hosted by various partners in the project and they will be sharing the various activities they are implementing and how they assisting in building on the work that they are already doing in relation to plastic waste. This will create visibility as well as sharing knowledge that can be used by those that will be beneficiaries.

As part of the project, there will be a development of the waste information system that will be used to manage all waste management activities in Lesotho, to improve the management, profiling and oversight on waste management and practice in Lesotho.

Consultations with various stakeholders and networks that will be created will form part of the learning about what works, in what contexts, for whom, and how which will be used to improve the work that is done and open up the new opportunities.

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

Strengthening Partnerships in Sustainable Plastic Life-cycle Management project will be designed to scale from the beginning through the formations of partnerships with various stakeholders. Additionally, they project activities will be aligned with the short, medium and long term government development priorities.

The alignment of the project activities to government priorities and on-going national initiatives is so as to guarantee the sustainability of the results. Working with local council leadership will ensure that results continue beyond the project life. The activities outlined in the project are not short lived as they are designed for with a long term strategy.

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## **IV. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)**

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

The plastic waste project will employ the procurement processes of both UNDP and Government of Lesotho (Ministry of Tourism, Environment and Culture) in activities that have been outlined to be implemented by various partners. The partners will be capacitated on UNDP procurement and finance processes through HACT trainings for an efficient

The project will also leverage partnerships with private sector and academic institutions to take advantage of the knowledge and expertise to maximise efficiency and effectiveness in the implementation of the project

### ***Project Management***

Strengthening Partnerships in Sustainable Plastic Life-cycle Management project will be housed by the Lesotho Accelerator Lab under Sustainable and Inclusive Economic Growth programme and Energy and Environment. It will also leverage management efficiencies, including procurement, financial management and monitoring and evaluation.

The project will be implemented by government through the Ministry of Tourism, Environment and Culture, working with other government ministries. Civil society, private sector and community members will also be part of the project.

Project oversight will be undertaken by Accelerator project team in concert with the Sustainable and Inclusive Economic Growth Team Lead under overall oversight of Deputy Resident Representative.

A technical working group comprising of the Ministry of Tourism, Ministry of Local Government, UNDP, Municipality of Maseru and Municipality of Maputso will be established to prepare annual workplan, review project progress and highlight issues for strategic decision to the already established Sustainable and Inclusive Economic Growth project Board.

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

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:											
Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:											
Applicable Output(s) from the UNDP Strategic Plan:											
Project title and Atlas Project Number: Strengthening partners for a sustainable plastic life-cycle management – Project Number: 00126722											
EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>3</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year ...		FINAL
Output 1 Specify each output that is planned to help achieve the outcome.	1.1 Assessment report(s) on plastic waste management		0	2021	1						Plastic waste management report
	1.2 Stakeholders governance mechanism operational		0	2021	3						Risk Delay in the completion of the report to influence programming
	2.1 Number of awareness raising events on print, electronic and social media		0	2021	4						Progress meeting reports and development of Terms of Reference Social media posts, tv and newspaper awareness

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

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



Output 3	2.2 Number of advocacy briefs and event organised	0	2021	3						Project reports and blogs
	3.1 Number of plastic waste collectors and recyclers (disaggregated by gender, type)	0	2021	1						Project reports
	3.2 Number of plastic waste products developed in Lesotho	0	2021	2						Project reports

## VI. MONITORING AND EVALUATION

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

### Monitoring Plan

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

	<p>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>the end of the project (final report)</p>	
<p><b>Project Review (Project Board)</b></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>End of the project</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>

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

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year				RESPONSIBLE PARTY	PLANNED BUDGET	
		Y1	Y2	Y3	Y4		Funding Source	Budget Description
<b>Output 1:</b> <i>Multi-stakeholder established platform Gen 2</i>	1.1 Undertake rapid assessment in urban councils (Maseru, Mafeteng, Leribe)	16,000				MTEC/ UNDP LSO	04010	Consultancy services
	1.2 Stakeholders mapping and definitions of roles	10,000				MTEC/ UNDP LSO	04010	
	1.3 Strengthen existing platform within different sectors (youth, street vendor associations, consumers association, retailers, women organisation, CBOs, PWD)	42,500				MTEC/ UNDP LSO	04010	grants
	1.4 Partnerships and resource mobilisation	9,000				MTEC/ UNDP LSO	04010	
	MONITORING- project coordination	5,000				MTEC/ UNDP LSO	04010	
<b>Sub-Total for Output 1</b>								
<b>Output 2:</b> <i>Strengthened Awareness and Gen 2</i>	2.1 Undertake a joint partner launch	15,000				MTEC/ UNDP LSO	04010	
	2.2 Organise stakeholder engagement	7,500				MTEC/ UNDP LSO	04010	
	2.3 Develop advocacy briefs and localised knowledge products, and IEC Material	80,000				MTEC/ UNDP LSO	04010	

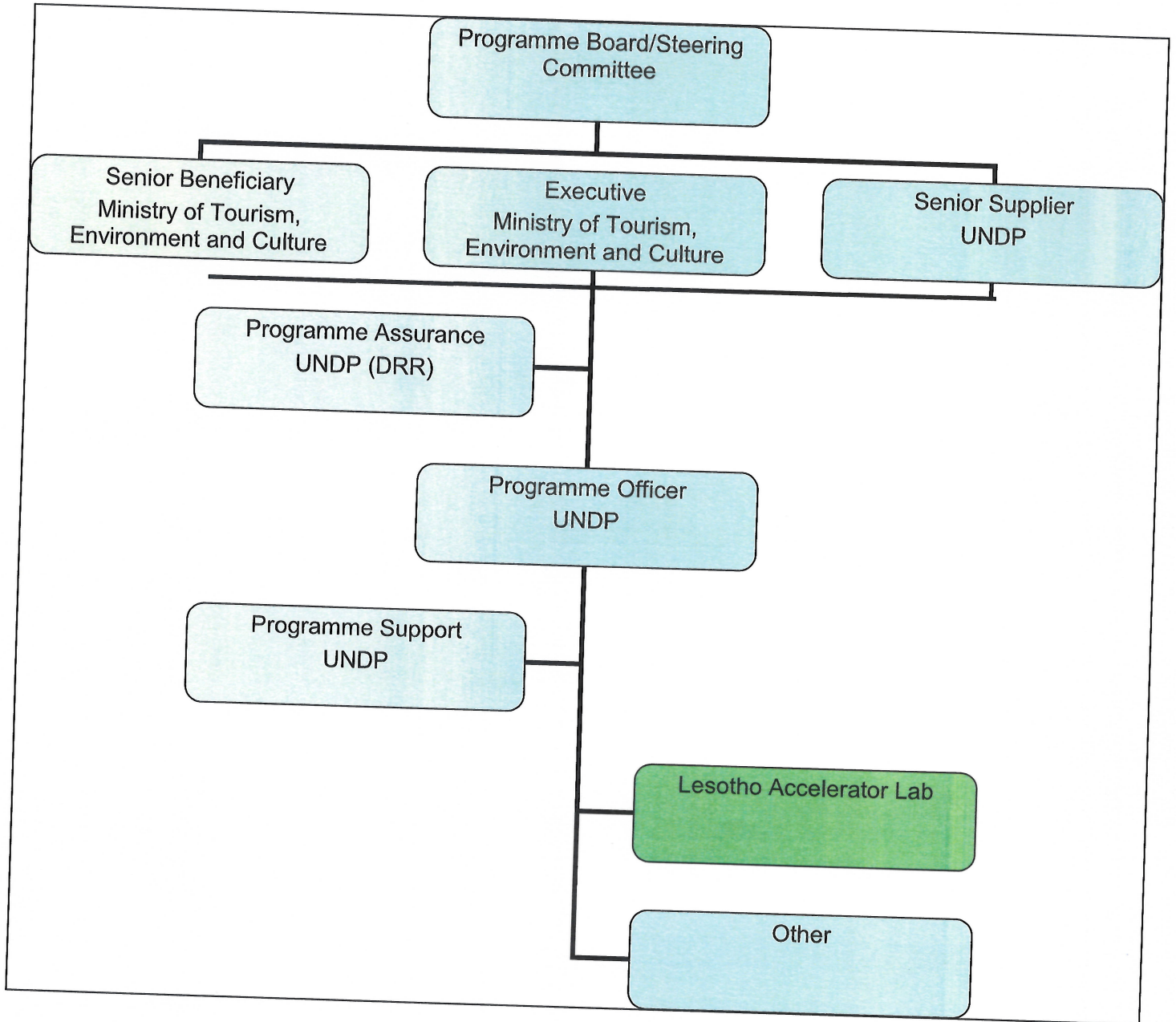
<sup>4</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

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

<b>Output 3:</b> Enhance capacity building and technical support of local stakeholders Gen 2	2.4 Organise Advocacy sessions - TV, Radio programmes, social media	57,000				MTEC/ UNDP LSO	04010	Trainings, material development	
	2.5 Environmental policing	15,000				MTEC/ UNDP LSO	04010	grants	
	2.6 Support umbrella organization of CSOs in sector to undertake awareness and advocacy drives	30,000				MTEC/ UNDP LSO	04010		
	MONITORING- field visits	5,000				MTEC/ UNDP LSO	04010		
	<b>Sub-Total for Output 2</b>								
	3.1 Establish waste information system	60,000				MTEC/ UNDP LSO	04010	Consultancy services	
3.2 Strengthen waste management regulatory framework	58,000				MTEC/ UNDP LSO	04010	Consultancy services		
3.3 Support innovation, research and development of plastic waste products	60,000				MTEC/ UNDP LSO	04010	grants		
3.4 Facilitate and implement introduction of waste sorting in government & private complexes or offices	30,000				MTEC/ UNDP LSO	04010	Trainings, procurement		
<b>Evaluation (as relevant)</b>									
<b>General Management Support</b>									
<b>TOTAL</b>									
							500,000	500,000	

### VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will be managed by UNDP as part of the Strategic Policy and Energy and Environment units, with oversight and governance support from the Programme Steering Committee, as reflected below:



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## X. RISK MANAGEMENT

### Option a. 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/aa\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aa_sanctions_list.shtml).
4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
  - (a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
  - (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.
5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:
  - i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
  - ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;

- iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
  - iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
  - v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
- b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
6. 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>).
  7. 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.
  8. 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.
  9. 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.
  10. 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).
  11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. 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.
  12. 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.

13. 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.

14. 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.
15. 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.
16. 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.

**Special Clauses.** In case of government cost-sharing through the project, the following clauses should be included:

1. The schedule of payments and UNDP bank account details.
2. The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform

the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.

3. The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.

4. UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.

5. All financial accounts and statements shall be expressed in United States dollars.

6. If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavors to obtain the additional funds required.

7. If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph [] above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.

8. Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.

In accordance with the decisions and directives of UNDP's Executive Board:

The contribution shall be charged:

(a) [...] cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices

(b) Direct cost for implementation support services (ISS) provided by UNDP and/or an executing entity/implementing partner.

9. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.

10. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP."

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## XI. ANNEXES

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

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