

Managing risks associated with the Gold Ridge Mine Tailings Storage Facility Project Document (June 2016 – Dec 2017)



Solomon Islands Government



Project Title: Managing risks associated with the Gold Ridge Mine Tailings Storage Facility

Project Number: 00101021

Implementing Partner: Ministry of Environment, Climate Change, Disaster Management and Meteorology (MECDM)

Lead Partners: UNDP, Ministry of Mines, Energy and Rural Electrification, Ministry of Health and Medical Services, World Health Organization (WHO), UN Office for the Coordination of Humanitarian Affairs (OCHA)

Other key stakeholders: Downstream community representatives, Gold Ridge Community Investment Limited (GCIL) company representatives, Royal Solomon Islands Police Force, and Guadalcanal Plains Palm Oil Limited (GPPOL)

Start Date: June 2016 **End Date:** December 2017

PAC Meeting date: 22/10/16

Brief Description

The Gold Ridge Mine Tailings Storage Facility (TSF) on the main island of Guadalcanal in Solomon Islands has been a constant threat to its surrounding communities since the April 2014 earthquake with a magnitude of 7.6, 314.0 km southeast of Honiara, Solomon Islands as well as heavy rainfalls since then. The TSF is part of a bigger tailings storage system which has been operating since 1998 with a 25 year 30km² lease. The tailings storage system consists of the main TSF embankment covering 0.62km², a water treatment plant with separate (now combined) sedimentation and discharge ponds and a Return Water dam upstream for storing treated water to be reused in the gold processing plant. The closure of the Gold Ridge Mine in 2014 also meant that maintenance of the water balance in the tailings storage system could not be sustained.

In response to the request put forward by the Government of Solomon Islands, the United Nations is supporting the Government to monitor and analyze the water quality. Furthermore, as the Gold Ridge area is a declared a Disaster Zone, the Project will focus on the post dewatering environment impact assessment along with risk mitigation activities and extensive efforts in awareness raising activities with downstream communities. The Project will explore the potential economic impact of dam failure or an overflow of the spillway on communities downstream and more importantly the Guadalcanal Plains Palm Oil Limited (GPPOL) further down the plains from the TSF.

UNDAF Outcome(s): Outcome 1.1: Improved resilience of PICTs, with particular focus on communities, through integrated implementation of sustainable environmental management, climate change adaptation/mitigation, and disaster risk management.

UNDP Strategic Plan Environment and Sustainable Development Primary Outcome (3):

Output 3.2. Preparedness systems in place to effectively address the consequences of and response to natural hazards (geo-physical and climate related) and man-made crisis at all levels of government and community.



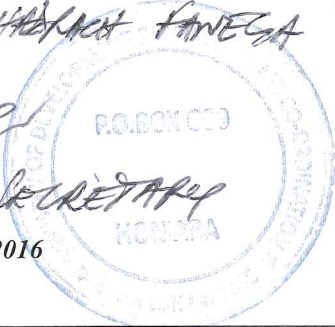
Indicative Output(s):1.4: Development of early warning, monitoring and surveillance systems in collaboration with other stakeholders to strengthen national responses to climate change and natural disasters.

NDS Objective Four: Resilient and environmentally sustainable development with effective disaster risk management, response and recovery

NDS Medium Term Strategy 10: Improve disaster and climate risk management, including prevention, risk reduction, preparedness, response and recovery as well as adaptation as part of resilient development

Total resources required:	USD\$ 750,000	
Total resources allocated:	USD\$ 750,000	
	UNDP	USD\$
	TRAC:	24,251.61
	Donor:	USD\$
	DFAT	725,748.39
	Donor:	
	Government:	
	In-Kind:	
Unfunded:		

Agreed by (signatures)¹:

<p>UN Organization(s)</p> <p>Name of Representative</p> <p>Signature </p> <p>Name of Agency</p> <p>Date & Seal - 11th November 2016</p>	<p>Representative of National Authorities</p> <p>Ministry of Environment, Climate Change, Disaster Management and Meteorology</p> <p>Name of Representative <i>Melchor Matalaki</i></p> <p>Signature </p> <p>Title <i>PS</i></p> <p>Date & Seal - 11th November 2016</p> 
<p>UN Organization(s)</p> <p>Name of Representative</p> <p>Signature</p> <p>Name of Agency</p> <p>Date & Seal- 11th November 2016</p>	<p>Representative of National Authorities</p> <p>Ministry of Development Planning and Aid Coordination</p> <p>Name of Representative <i>SHARLET FANEZA</i></p> <p>Signature </p> <p>Title <i>PERMANENT SECRETARY</i></p> <p>Date & Seal- 11th November 2016</p> 
<p>UN Organization(s)</p> <p>Name of Representative</p> <p>Signature</p> <p>Name of Agency</p> <p>Date & Seal- 11th November 2016</p>	<p>Representative of National Authorities</p> <p>Name of Representative</p> <p>Signature</p> <p>Title</p> <p>Date & Seal- 11th November 2016</p>

¹Note: Adjust signatures as needed

Contents

Acronyms and Abbreviations.....	4
I. Project Background	5
a. Situation Analysis.....	5
b. Development Context.....	5
c. Linkages to other activities and programmes	6
d. Gaps and challenges	7
II. Project Strategy.....	8
a. Project Rational.....	9
b. Project Goal and Objectives	9
c. Project Outputs and Activities	10
III. Results and Partnerships	16
a. Resources Required to Achieve the Expected Results.....	16
b. Partnerships.....	16
c. Stakeholder Engagement.....	16
d. Knowledge	17
e. Sustainability.....	17
IV. Project Management.....	17
V. Logframe	20
VI. Monitoring And Evaluation	26
VII. Legal Context and Risk Management	38
VIII. ANNEXES.....	40
i) Project Quality Assurance Report	41
ii) Social and Environmental Screening Template	66
iii) Risk Analysis.....	68
iv) TORs of key management positions	72

Acronyms and Abbreviations

APR	Annual Progress Report
EIA	Environmental Impact Assessment
GCIL	Gold Ridge Community Investment Limited
GRCLC	Gold Ridge Community and Landowners Council
GPPOL	Guadalcanal Plains Palm Oil Limited
KTDA	Kolobisi Tailings Dam Association
MDA	Matapono Downstream Association
M&E	Monitoring and Evaluation
MECDM	Ministry of Environment, Climate Change, Disaster Management, and Meteorology
MHMS	Ministry of Health and Medical Services
MMERE	Ministry of Mines, Energy and Rural Electrification
NDMO	National Disaster Management Office
NDS	National Development Strategy
NGO	Non-Governmental Organization
NPM	National Disaster Risk Reduction and Management Specialist
OCHA	Office for the Coordination of Humanitarian Affairs
PER	Project Evaluation Report
RWD	Return Water Dam
SIG	Solomon Islands Government
TNC	The Nature Conservancy
TSF	Tailings Storage Facility
UN	United Nation
UNDAC	United Nations Disaster Assessment and Coordination
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
WHO	World Health Organization

I. PROJECT BACKGROUND

a. Situation Analysis

The Gold Ridge Mine Tailings Storage Facility (TSF) on the main island of Guadalcanal in Solomon Islands has been a constant threat to its surrounding communities since the April 2014 earthquake of magnitude 7.6, 314.0 km southeast of Honiara, Solomon Islands and the occurrence of heavy rainfalls since then. The TSF is part of a bigger tailings storage system which has been operating since 1998 with a 25 year 30km² lease. The tailings storage system consists of the main TSF embankment covering 0.62km², a water treatment plant with separate (now combined) sedimentation and discharge ponds and a Return Water dam upstream for storing treated water to be reused in the gold processing plant. The closure of the Gold Ridge Mine in 2014 also meant that maintenance of the water balance in the tailings storage system could not be sustained.

Due to a combination of both natural (rainfall) and anthropogenic (tailings facility management) discharge, the TSF reached dangerously full levels. During the heavy rains in March/April 2016 TSF waters exceeded the spillway and 200,000 m³ was released into the surrounding environment. The social, environmental, economic, health and security risks associated with the Gold Ridge Tailings Dam continue to be potentially significant.

Since the departure of St. Barbara mining company following the April 2014 floods, primarily the Solomon Islands Government has led the environmental management and monitoring of the TSF and downstream areas. It is important to note that this is an extraordinary situation where an already stretched national government continues to be required to take on risk management of a large tailings dam facility. Hence the gaps and challenges identified during the inception phase of this project are not shortcomings of the Solomon Islands Government, but more a reflection of this complex and challenging situation.

In January 2016, Gold Ridge Community Investments Limited (GCIL) started the sampling of water and sediment quality in preparation for their dewatering activities. A series of weekly reports on these analysis results have been provided by GCIL to the Director of MECDM as a requirement of their dewatering licence conditions. In addition, the National Public Health Laboratory (NPHL) has conducted independent water quality sampling for arsenic and cyanide within the TSF and downstream areas. Since the departure of St. Barbara in 2014 MECDM has initiated a monitoring program of TSF water levels on a weekly basis with more frequent monitoring whilst the TSF is currently at critically high water levels. With the support provided by partners, MECDM have improved their monitoring program through the utilisation of rotating lasers for water level and turbidity for water quality. MMERE have also maintained a regular monitoring of the TSF with assessments of rainfall, water level, river flow rates and treatment plant discharge rates.

Following the April 2014 flood event, a joint UNDAC team conducted an assessment of the TSF with consideration given to environmental issues. In addition, several efforts have been made to monitor water and sediment quality within the Gold Ridge area. One of such assessments that was conducted in February 2016 was supported by UNDP and consisted of a comprehensive baseline assessment prior to TSF dewatering. Likewise, the June 2016 assessment was funded by WHO and provided a post-dewater/untreated spill assessment of water and sediment quality.

b. Development Context

Solomon Islands has a high exposure to a wide range of geological, hydrological, and climatic hazards, including tropical cyclones, volcanic eruptions, earthquakes, tsunamis, landslides, floods, and droughts. Over the recent years the Solomon Islands has undergone disasters namely the Tsunami in Gizo, Western Province and the April 2014 flash flood in Central Honiara, Guadalcanal Province which affected many homes and livelihood.

In light of extreme weather events, tropical cyclones often cause flooding and wind damage in the Solomon Islands. There have been severe floods on Guadalcanal in recent years with a number of lives lost, and severe damage to agriculture and infrastructure.

Given the high exposure to natural disasters and likelihood of extreme events, it is essential to ensure that mechanisms and institutional capacity is enhanced to reduce the risks associated with the Gold Ridge TSF and RWD.

The implementation of the Solomon Island Government, National Disaster Risk Management Plan 2010 saw there were gaps in technical support for hazard and risk assessment, community level Disaster Risk Management engagement, early warning capability and funding support. This project will address some of the gaps under the preparedness planning activities, particularly pertaining to the downstream communities.

Disaster Management has been mainstreamed in the National Development Strategy as a cross cutting issue, focusing on investment in rapid response, disaster management equipment, early warning systems, and awareness programmes to communities vulnerable to disasters.

The Gold Ridge area is a declared disaster zone thus links between environment and humanitarian action is profound due to possible risk of dam failure which will affect downstream communities. Communities rely on the environment for their livelihoods so with the possible negative threat to the environment their health, water, sanitation and hygiene, shelter and even lives will be impacted.

In support of this national development strategy, the UN will contribute and support, knowledge management and capacity development as stipulated in the UNDAF. Specifically, under Outcome 1 result area: Improved resilience of PICTs, with particular focus on communities, through integrated implementation of sustainable environmental management, climate change adaptation/mitigation, and disaster risk management. With which specific strategic areas of support include disaster risk reduction and Disaster Risk Management. In pursuit of this Outcome, the UN will assist the Government under the framework of the national disaster policy and National Disaster Council through the National Disaster Management Office (NDMO) of the Ministry of Environment, Climate Change, Disaster Management and Meteorology (MECDM).

MECDM through NDMO is taking charge to address the potential risk to human lives hence intends to undertake Flood Risk Modelling to map out the potential risk of the dam flooding the downstream communities. The modelling will specifically identify the likely and worst case scenarios with considerations on; Flood Flow, Flow velocity, depth, flood wave estimated time of arrival down streams. These would lead to the development of appropriate immediate and longer term disaster preparedness measures. Further institutional capacity support will also be given to the other line ministries within the government to ensure that the risks around the TSF and Return Water Dam can be reduced and managed.

c. Linkages to other activities and programmes

This project aims to bring about better coordination amongst key national institutions responsible for regular monitoring as well as disaster risk reduction and mitigation, as well as UN agencies working with respective national institutions. Therefore, the project will ensure effective synergies amongst existing and planned activities of the government and partners.

The Solomon Islands Government carried out assessments and monitoring around the TSF in 2014, continuing up until 2016 (Table 1). Regular monitoring has been carried out by MECDM, MMERE, MHMS and RSIPF along with GCIL. MECDM and MMERE have carried out visual inspections and measurements of water level and rainfall, RSIPF has carried out visual inspections at greater frequency leading up to and during the spill over, and has been quickest to relay information to concerned communities downstream. MHMS through the National Public Health Laboratory has conducted a sampling program to analyse concentrations of arsenic and cyanide and measure water quality parameters such as pH and conductivity in the TSF and receiving waterways. GCIL has conducted a monitoring program including sampling of the TSF and receiving waters for arsenic and cyanide analysis, and daily measurements of water level and rainfall.

Table 1: Overview of key assessments

Time	Task	Implemented by	commissioned by
April 2013	Assessment of Goldridge Mining Limited Request to Dewater Untreated Mine Waste Water from its Tailings Storage Facility	Dr. C.Togamana Dr. C.Vehe Dr. M.Mataki	SIG (MECDM & MMERE)
June 2013	Review of Dam Safety Situation at TSF	Damwatch	St Barbara Ltd
April/May 2014	Gold Ridge TSF assessment	UNDAC	SIG
July 2014	Rapid Environmental health impact assessment	UQ-Paul Jagals	WHO
October 2014	Water and Sediment Quality Assessment downstream of Gold Ridge	UQ Civil Engineering-	MMERE

		Dr. Albert	
February 2015	Water and Sediment Quality Assessment downstream of Gold Ridge	UQ Civil Engineering- Dr. Albert	MECDM
July 2015	Water and Sediment Quality Assessment downstream of Gold Ridge	UQ Civil Engineering- Dr. Albert	MMERE/WHO
January 2016-present	Water and sediment quality	GCIL	MECDM
February 2016	Baseline Assessment of Aquatic and Marine environments downstream of Gold Ridge	UQ Civil Engineering- Dr. Albert	MECDM/UNDPMERE
April 2016	Water and Sediment Quality Assessment downstream of Gold Ridge during spillover	UQ Civil Engineering- Dr. Albert	MMERE
May 2016	Status and Issues Report – Gold Ridge Mine Tailings Storage Facility	NDMO	NDMO
June 2016	Water and Sediment Quality Assessment downstream of Gold Ridge following spillover	UQ Civil Engineering- Dr. Albert	MMERE/WHO
ongoing	Water quality assessments	NPHL	MHMS

The activities and results proposed in this project are based on the findings of the assessments in Table 1 such as the recommendations from the UNDAC and ongoing support from WHO on monitoring and analysing the water quality in partnership with the environment Health Division and the National Public Health Laboratory with other ongoing assessments and initiatives that are mentioned under the partnership component of this project.

d. Gaps and challenges

During the inception phase of the project, a number of key stakeholders working on the Goldridge mine issues have been consulted so that the exiting gaps and challenges in terms of strengthening risk reduction and management efforts could be objectively and thoroughly identified. The following outlines some of the recurring gaps and challenges identified during the project design phase:

- Lack of inter-ministry communication and coordination;
- Lack of capacity and equipment to conduct routine monitoring and respond to emergency situation;
- Limited national capacity for analysis of environmental pollutants in water, sediment and food samples;
- Management and analysis of existing data and reports;
- Access to TSF water level data to make contingency planning decisions during critical emergency periods is vulnerable due to access across Tinahulu bridge;
- Limited predictive capacity to understand how various rainfall intensities and periods will cause the TSF (and RWD) to respond;
- Mixed and conflicting awareness messaging to downstream communities from various agencies; and
- April 2016 TSF spillover event highlighted significant weaknesses in the contingency response by various agencies.

Based on the above gaps and challenges the project will support the government to implement some of the critical recommendations to fully understand risks surrounding the TSF and how best to manage and mitigate them. This will be done through contingency planning exercises based on assumptions and findings from modelling work and further investigations of the structural integrity, improved awareness raising and communications with the downstream communities, capacity building of national institutions for real-time and regular monitoring and better coordination among institutions and stakeholders concerned: More specifically, the project will support the following deliverables:

1. Assessment of the hydrology of the TSF catchment under high seasonal rainfall sequences and under extreme rainfall events
2. Assessment of the surface profile and the contamination profile of the sediments in the tailings lake with specific focus on its stability. This would lead to developing a mechanism for maintaining the sediment contamination at a safe level.
3. Assessment of the TSF and the return water dam structures and the spillway mechanisms (In parallel to the above) to support the arrangement and management system of the TSF.
4. Assessing the tailings lake spillway overflow and flow path down the Kwara river under extreme rainfall event. The flow conditions should be checked both for Return Water runoff feeding into the tailings dam and for it to be diverted.
5. Conducting hazard assessment and risks assessment through the use of appropriate modelling technique(s) to determine the most probable scenario of TSF overflow and failure of dam retention wall and to design contingency planning response in the event of dam collapse
6. Strengthening the existing capacity of MECDM, MMERE, MHMS and other key stakeholders (RSIPF & GCIL) to effectively monitor dam water level and quality at the TSF and the surrounding communities on a frequent basis
7. Conducting an environmental and socio-economic assessment of potential areas which will be affected should the dam collapse.

By implementing the above it is envisioned that the outlined gaps and challenges will be addressed to a certain extent by which the government will be better informed of the level of risk around the TSF and the return water dam and also improve coordination of data collection and information sharing. Most importantly, the government disaster management agency will have preparedness plans in place in time of a disaster.

II. PROJECT STRATEGY

Capacity development of key national institutions responsible for DRR is the central core strategy of this project. It would mainly entail interventions for improving the operating and governance capacities in the areas of coordination and implementation of plans and strategies for DRR with regards to the risks associated with the TSF and Return Water Dam at the Goldridge Mine. One of the most important risk reduction and mitigation strategies needed is to strengthen preparedness through improved coordination mechanisms amongst key stakeholders at all levels and between the government and communities, systems and institutional capacities to effectively monitor the situation and respond. Improved awareness among the communities of the risks and contingency plans put in place will also contribute to greater preparedness and response capacity.

The project aims at developing capacities across the three-tiers i.e. enabling environment, organizational/institutional and community levels. It would include sustaining support to institutionalization, capacity building, knowledge building and advocacy through a participatory process with key stakeholders. This will complement the national strategy's commitment to developing a 'disaster preparedness plan' in addressing impacts of progressive disaster risk reduction as stipulated in the Country's National Development Strategy (NDS). The project strategies are also well aligned with the UNDAF, broadly categorized into: knowledge management and capacity development. Furthermore, the project interventions are anchored on the three priorities of the Sendai Framework and are seen as crucial to address the problems and gaps associated with the TSF.

This project is a short-term (18 months) intervention from a humanitarian and disaster risk reduction and management perspective through the design of contingency planning and monitoring capacities enhancement. The project will not address or are not intended to influence medium to long-term economic decisions surrounding the mine operations, the reinforcement or redesign of the existing dam or TSF structure. The UN agencies in Solomon Islands is strategically positioned to support these strategies given its long-standing commitment and support to fostering sustainable development through capacity development, policy support, and advocacy.

Depending on the future development plans of the mine, some of the proposed assessment may be taken up by an investor or other entities. In order to ensure no duplicated efforts and effective coordination, the project work plan will be reviewed frequently in close consultation with key stakeholders and proposed activities will be adjusted accordingly.

a. Project Rational

Over the past two years the water level within the TSF reached critical levels (within 1m of spillway) on several occasions. In July 2015 water levels were within 8cm of the spillway before a prolonged dry period from El Nino in late 2015 reduced levels. Given the positive water balance of the TSF, water levels overtopping the spillway has been somewhat of an inevitability. Following moderate rainfall events in February and March 2016 the TSF water levels overflowed over the spillway from March 31-April 10. In response to this SIG provided GCIL with approval for both treated and untreated discharges into the Tinahulu River to rapidly reduce water levels. The response by GCIL and the relevant SIG stakeholders (RSIPF, NDMO, MHMS, MMERE, MECDM G-Province) during and immediately following the spillover event highlighted some issues with the response, monitoring, communications and awareness for downstream communities.

According to the IPCC Assessment report (AR5), changing rainfall patterns indicate that the average annual and season rainfall is projected for the Solomon Islands will increase over the course of the 21st century. The increases during the wet season in particular are due to the expected intensification of the South Pacific Convergence Zone and the Western Pacific Monsoon. Based on the climate modelling projection, extreme rainfall days are likely to occur more often.

Based on the rainfall projection and the combination of both natural (rainfall) and anthropogenic (tailings facility management) discharge as mentioned earlier, there is a need to strengthen the existing preparedness measures for the increasing likelihood of a spillover of the TSF untreated water. The spillover water will cause environmental, social, health risks and economic concerns for downstream communities who rely on the natural environment for their livelihood.

Given the level of likelihood risk scenario of the mentioned risks associated with the TSF and RWD, it is vital to have in place contingency plans for both responsible institutions and communities to ensure both are prepared in place to improve responses for possible future events.

Over the course of years, a number of stakeholders have been engaged in gathering data from the mine. As mentioned in the earlier section, coordination among different agencies on these efforts could be strengthened for better response and cost minimization. The contingency planning process is intended to address the current coordination issues between the key ministries and strengthen the existing network of information sharing and response actions. Information gathered from past studies will be used to inform the planning process. Contingency planning should be done at institutional level as well as at community level. The approach may differ. However, the overall aim is that the national actors responsible for disaster prevention and response and communities concerned are equipped with the knowledge, systems and tools to mitigate and manage the risks well.

b. Project Goal and Objectives

The goal of this project is to identify and manage the risks associated with the Gold Ridge Mine Tailings Dam and Return Water Dam through the following immediate objectives:

1. To design contingency planning response in the event of spillover due to heavy rain and dam collapse, based on assessments, existing knowledge and historical data, as well as the assessment of the surface profile and the contamination profile of the sediments in the tailings lake with specific focus on its stability as well as hazard assessment using appropriate modelling technique(s) to determine the most probable scenario of TSF overflow and failure of dam retention wall;
2. To strengthen the existing capacity of MECDM, MMERE, MHMS and other key stakeholders (RSIPF & GCIL) to effectively monitor the situation for risk management, early warning and response; and
3. To conduct an environmental and socio-economic assessment of potential areas which will be affected in the event of spillover and dam failure. This will take into account the possible economic loss of the surrounding

areas' economic activities, including the palm oil industry located downstream should its operation be damaged.

Project Outcomes and Theory of Change

This project is designed to support the government to effectively manage and reduce the risks associated with the Goldridge TSF and RWD by having in place preparedness and contingency plans in light of possible disasters.

The project will contribute directly to the NDS Medium Term Strategy 10: Improve disaster and climate risk management, including prevention, risk reduction, preparedness, response and recovery as well as adaptation as part of resilient development, and also UNDP Strategic Plan Environment and Sustainable Development Primary Outcome (3): Output 3.2 Preparedness systems in place to effectively address the consequences of and response to natural hazards (geo-physical and climate related) and man-made crisis at all levels of government and community.

This will be done through the two closely inter-connected and mutually reinforcing project specific outputs: 1). Contingency Plans, 2). Improved coordination mechanisms, systems and capacities for regular monitoring and assessment of risks.

In order to develop practical and robust contingency plans that are based on assumptions and evidence, the project will support NDMO and line ministries to assess the level of risks through the Geo-technical assessments and modelling, which will provide insight into the structural integrity of dam and help develop appropriate response plans. Environmental monitoring training and equipment to MECDM and MMERE, as well enhanced laboratory testing capacities of national institutions will strengthen the capacity of government to monitor, manage and mitigate risk associated with mining activities.

Feedback from the results of the above will inform the ongoing and future awareness programs for downstream communities by the government. This will ensure that the communities concerned are aware of the situation and will have access to information and will enhance communication and relationship amongst the responsible government institutions, as well as between the government and the communities through regular and frequent dialogue.

Sound technical assessments, as well as capacity building of key government institutions and fruitful public relation activities will be important foundations and prerequisites for the successful implementation of this project and the delivery of intended results of reducing and effectively managing risks.

c. Project Outputs and Activities

Outcome 1: Contingency plans developed and put in place in an inclusive and participatory manner

Output 1.1 Institutional contingency plans developed and put in place in an inclusive and participatory manner

Expected output: there will be a contingency plan for disaster risk reduction and mitigation at an institutional level with clearly defined sectoral response and preparedness plans, early warning procedures and coordination and management arrangements for various scenarios, including the priority scenario of spillovers, as well as dam collapse.

Rationale: Based on the in-depth consultations held during the inception phase, the scenario of spillover due to heavy rain falls during the wet season has been identified as one of the most likelihood scenarios for which the contingency planning should be developed. Analysing the lessons from the response in April 2016 will help to guide contingency planning and improve responses to future events. In addition, developing contingency responses to more severe spillover scenarios that may mobilise toxic tailings sediments will be an important part of this planning process. The contingency planning process is meant to address the current coordination issues between the key ministries and strengthen the existing network. Information gathered from past studies will be used to inform the planning process. Contingency planning should be done at institutional level as well as at community level (see output 1.1).

Tasks:

1.1.1 Conduct lessons learning of the April 2016 experience by interviewing stakeholders on how agencies responded to the event and discuss areas of improvements. Gather information based on past studies on economic, environment and social characteristics of the communities at risk of being affected by a future spill over event. (1 week)

1.1.2: Conduct meetings and working sessions with board stakeholders to discuss draft contingency response to various scenarios, with a priority given to future spillover events while also addressing the possibility of dam failure (if proven probable through the assessments). A three-day contingency planning workshop with representatives from Solomon Islands Government, Civil Society Organizations, Development Partners, Private Sector and the Community to develop the plan. (1week)

Output 1.2 Contingency Plan for communities at risk developed and implemented with inclusive participation of key stakeholders, including communities

Expected output: There will be a village or community disaster preparedness and response plan with clearly identified early warning and evacuation procedures and leadership and coordination structures as well as available resources at the community level.

Rationale: Approximately 8000 people living in the downstream communities of the TSF are exposed to risks from uncontrolled discharge of TSF waters over the spillway. These discharges can have significant health, environmental, economic and social impacts on the downstream communities and their livelihoods. The community members should be informed of risks and contingency plans put in place.

Tasks:

1.2.1 Initiate discussions with community leaders to inform them of the rationale for establishing a community based disaster preparedness and response planning for spillway overflow and conduct discussions with community leaders to mobilize community members for planning including preparation of resources to conduct the planning exercise. An agreement on the best time for planning without affecting community livelihood activities.

1.2.2 Conducting community planning exercise.

1.2.3 Drafting of the plan and development of simple tools to communicate the plan

1.2.4 Testing of the plan through simulation and drills.

Output 1.3 TSF and RWD Stability Modelling conducted to inform contingency planning.

Expected output: A clear understanding of the “as built” stability of the TSF embankment, Saddle Dam and RWD will be established. This will provide an understanding of the dam walls sensitivity to elevated phreatic surfaces and to earthquake loading.

Rationale: Golder Associates used two dimensional limit equilibrium modelling as part of their design analysis for both the TSF dam and RWD. The stability of these storage facilities was assessed using these modelling techniques. Inputs to the model included, geometry, phreatic surface, material parameters and earthquake loading. Lift 2 of the 5 lift design has been constructed, plus a modified version of Lift 3, without the filter drain (refer to discussion in Section 4.4). There has also been discussion in some of the preceding reports about whether the designed embankment slope batter angles have actually been implemented in the “as built” construction. It also seems very probable that the phreatic surface is considerably more elevated than originally designed.

To determine the current stability of the TSF embankment the actual “as built” construction needs to be analysed. Once undertaken this would provide a better understanding of the current stability of the TSF embankment and it will be an important basis for scenario development and therefore, contingency planning efforts. The output from this modelling project could be used to demonstrate to the downstream communities that there is a tangible understanding of the embankment stability and sensitivity to both elevated phreatic levels and earthquake loading.

Analytical cross sections should be taken through the TSF embankment as well, as the Saddle Dam to assess the impact of excavation behind the dam wall. Similarly, cross sections of the RWD should be analysed to investigate the effect of an elevated phreatic and earthquake event.

Tasks:

1.3.1 Review any available documentation associated with the design of the original dam and subsequent partial lift.

1.3.2 Review all available Construction Quality Assurance (CQA) records, noting any departures from design;

1.3.3 Determine the accurate “as-built” dam geometries;

1.3.4 Assess appropriate material parameters to be used in the construction of the 2D limit equilibrium model;

1.3.5 Assess available piezometric information;

1.3.6 Evaluate seismic risk;

1.3.7 Run sensitivities to piezometric levels and material parameters

Output 1.4 Catastrophic Dam Break scenario modelling

Expected output: A clear understanding of the downstream area affected by a catastrophic dam break. This study would focus on the potential liquefaction of the tailings dam materials and the extent to which they would generate a “mudflow”.

Rationale: Currently there is a lack of understanding of the impact if the TSF dam wall were to fail catastrophically. This study would primarily focus on the impact of any potential “mudflow”. This study would focus on geotechnical modelling but could be combined with the environmental impact study.

The findings of this study would allow risk evaluation and contingency planning. A clear understanding of the potential impact of a catastrophic dam break would be useful in discussions with the downstream communities. Currently there is no tangible evidence to dispel their concerns that they could be severely affected by a “mud rush” associated with a dam break scenario.

Tasks:

- 1.4.1 Determine the accurate “as-built” dam and tailings deposition geometries;
- 1.4.2 Evaluate the material parameters of the stored tailings;
- 1.4.3 Evaluate the moisture content and potential for liquefaction;
- 1.4.4 Acquisition of LIDAR data to generate an accurate topographic profile downstream;
- 1.4.5 Undertake run out modelling based on the derived inputs;
- 1.4.6 Run sensitivities to input parameters.

Output 1.5 Assessment of TSF tailings sediments-depth, volume, contaminant levels, density, chemical interaction with surface waters (fluxes)

Expected output: Understanding of potential for high Arsenic concentrations to be released from tailings sediments during both normal conditions and extreme events (dam failure)

Rationale: Recently the arsenic concentrations within the tailings dam surface waters increased alarmingly from less than 0.01 mg/L to over 0.09 mg/L despite no mining operations or tailings disposal occurring. This suggests the greatly elevated arsenic in sediment porewaters within the tailings dam are beginning to leach out and driving the observed increase in arsenic concentration. There is an urgent need to estimate arsenic sediment flux rates within the TSF to better understand the causes of this alarming increase in surface water arsenic concentration. A multidisciplinary approach to this is suggested including: a field survey of sediment porewaters across the whole TSF to estimate variability in arsenic concentrations and identify possible hotspots; a series of laboratory core incubations studies to understand the range of flux rates encountered under different dissolved oxygen and temperature regimes; and, the development of a numerical model of the system to integrate the findings of the field and laboratory studies. This is critical to develop optimal long term strategies for the management of the TSF facility as well as inform the design of future facilities.

Tasks:

- 1.5.1: Water quality profiling through water column to sediment-water interface
- 1.5.2: Assessment of arsenic and cyanide concentrations within TSF sediment porewaters for identification and mapping of hotspots
- 1.5.3: Mapping of TSF sediments including coring for density, arsenic and cyanide concentrations
- 1.5.4: Sediment core incubations from hotspots to determine flux rates
- 1.5.5: Hydrological assessments undertaken for the TSF catchment under defined high seasonal rainfall sequences and extreme rainfall events
- 1.5.6: Risk assessment undertaken for defined events and spill-over scenarios developed to inform contingency planning

Outcome 2: The capacity of SIG on early warning and detection enhanced to effectively monitor the situation for early warning and response

Output 2.1 A real-time monitoring of Tailings dam water level, rainfall, arsenic and turbidity made available for enhanced early warning and detection capacity.

Expected output: NDMO receives live data on TSF water level upon which to make critical contingency responses in emergency situations

Rationale: The dewatering efforts of the past have positively contributed to reducing the water level within the TSF, which is currently at 1.8 m from spillway² but it may reach critical levels during the upcoming wet season (case in point is the rainfall experienced during the 2014 flash floods). Rainfall can rapidly increase the water level of the TSF, with daily increases of 100-300 mm occurring previously. During severe weather events, access to the TSF to take manual water level readings can be limited and it might be impossible to do so during floods. Given the moderate likelihood of water levels becoming critical in the upcoming wet season and the potential for catastrophic outcomes if the dam main embankment is breached, an autonomous water level and quality station is deemed essential to provide information to NDMO to guide mitigation actions during extreme weather events. This monitoring network will send regular (15 minute) updates on TSF water level and quality to a web-based server for access by Solomon Islands Government. In addition, each monitoring station will be equipped with test kits for the analysis of water column Arsenic concentration to provide rapid detection of elevated concentrations. Monitoring stations within the TSF and downstream in Metapona river are proposed.

Tasks:

- 2.1.1: Design of network-variables, locations, security, data management
- 2.1.2: Procurement and installation monitoring instruments
- 2.1.3: Maintenance, training of SIG and data management

This component/output will be implemented with great care when appropriate, based on a close monitoring of the security situation in the downstream communities to ensure safety of installed instruments and measures.

Output 2.2 Capacity and needs of analysis of the National Public Health Laboratory (MHMS) and Geochemistry Laboratory (MMERE) for regular testing and monitoring assessed and gaps reduced

Expected output: Identify existing capacity and resource requirements to improve functioning of NPHL and MMERE Geochemistry Laboratory and facilitate filling the gaps to allow for regular monitoring exercises of water quality for environmental and health impact.

Rationale: Up until now, water samples collected from various points, including those at the downstream have to be sent to mainly Australia for testing. This contributes to increased costs and delays in receiving results. The government has requested that for sustainability and enhanced efficiency of these efforts, appropriate national institutions must be equipped with tools and human resources to carry out these routine tasks. However, consideration should be given to the sustainability of any support and to ensure it is embedded within appropriate laboratory management restructures required.

Prior to investing further resources into strengthening the capacity of the National Public Health Laboratory (NPHL), it is recommended to conduct a capacity and needs assessment of both the NPHL (MHMS) and the Geochemistry Laboratory (MMERE). This will provide a clear identification of the most efficient way these laboratories can be structured to provide the analytical needs of the Gold Ridge issue (and more broadly).

Tasks:

- 2.2.1 Specialised laboratory accreditation and management consultant to provide assessment of existing capacity and future needs of NPHL and MMERE laboratories. This will be building on the assessment supported by WHO through the MHMS.
- 2.2.2 Make provisions for technical and equipment support within the scope and means of the project to fill the capacity gaps.

Output 2.3 Members of downstream and affected communities fully made aware of possible risks and mitigating measures through the design and roll out of awareness programs

² As of July/August 2016

Expected output: Downstream communities are kept informed of TSF management and are better prepared to respond to risks.

Rationale: Historically, communities of downstream areas have expressed their views that there has been a lack of communication over the operation of the tailings dam as well as environmental health risks associated with these activities. To redress the perception, it is suggested that an awareness program is developed to better inform downstream communities as to the current risk levels. Fruitful relationship and frequent and timely communication will also be critical for the successful implementation of this project overall.

Tasks:

2.3.1 Developing awareness materials to be used for different scenarios (eg: broad information to be used generally, specific information related to dewatering, spillover, dambreak scenarios)

2.3.2 Training of relevant SIG staff in protocols and dissemination of awareness materials and carrying out community outreach efforts to complement the existing

Output 2.4 Possible impact of TSF spill over and dam wall break scenarios-including health, economic, environmental, social, security to guide contingency planning identified through an independent assessment

Expected output: Identification of key impacts from spillover and dambreak scenarios to guide contingency planning

Rationale: Approximately 200,000 m³ of untreated tailings water was discharged into the Tinahulu and Kwara river systems in April 2016. With the cessation of untreated TSF water discharges on April 10, a holistic assessment of environmental, social, health and economic impacts is required. However, given initial results from water and sediment quality assessments indicate no detectable impacts and the length of time that has passed since the spillover event, it is advised that the impact assessment is relatively rapid and qualitative with a focus on human health, social and economic impacts. The impact assessment should consider two scenarios (TSF spillover and Dambreak). Aspects of the impact assessment could be implemented by SIG and relevant NGO staff with training and support from experts in the field (linked into SIG training activity below).

Tasks:

2.4.1: Qualitative impact assessment report on likely environmental, social, health and economic impacts from uncontrolled spillover of the TSF

2.4.2: Qualitative impact assessment report on likely environmental, social, health and economic impacts from the failure of the TSF dam (dambreak scenario)

Output 2.5 Capacity of SIG staff enhanced to monitor tailings dam and downstream areas independently.

Expected output: A joint SIG (MHMS, MMERE, MECDM) environmental monitoring team trained and equipped to conduct joint monitoring activities

Rationale: A strong environmental monitoring capacity within the Solomon Islands Government will help respond to the current situation at the TSF and ensure a stronger foundation for environmental monitoring at a national scale into the future. There is clear capacity within MECDM, MHMS, MMERE to develop and maintain a high quality monitoring program of the tailings dam and downstream areas. However, guidance is required to ensure that results obtained are highly defensible and key equipment is required for routine and event monitoring programs. This equipment includes water quality probes, water flow rate monitoring and geo-referenced cameras.

Tasks:

2.5.1: Design of monitoring team structure, roles, responsibilities, data management, equipment, resources required

2.5.2: Provision for equipment and training programme for MHMS, MECDM, MMERE

2.5.3: Ongoing mentorship program

Output 2.6 Installation of monitoring equipment at the TSF, Saddle Dam and RWD

Expected output: Provide information required and recommendations to allow for an eventual installation of on-site instrumentation integrated with remote sensing solutions that will facilitate an understanding of the ongoing stability of the TSF embankment, the Saddle Dam and the RWD. Instrumentation may be linked by telemetry to warning devices that can alert relevant personnel in the event of movements outside of set thresholds.

Rationale: During active mining, piezometers and prisms were installed at the TSF embankment. These were monitored at regular intervals to ensure that the embankment was behaving as designed. It is understood that prisms were also located on the crest of the Saddle Dam and RWD. Since cessation of mining all the prisms have been removed. The piezometers were also removed prior to the construction of the temporary 3rd Lift. These instruments were never replaced. Currently there is no instrumentation installed in any of the embankments. As a consequence, there is no way of telling whether there is any external or internal deformation of the embankments. It is recommended that prisms, InSAR reflectors, piezometers and inclinometers are installed within the TSF embankment, the Saddle Dam and RWD.

The stability modelling exercise will assist in the optimal placement of the various proposed instrumentation.

Ideally these instruments would be read through telemetry. Realistically, due to the potential for vandalism it would probably more prudent to install equipment that requires manual reading backed up by remote sensing. Drone based surveys could be carried out by locally trained staff on demand. The project will provide all necessary information and options to allow for the possible installation of the equipment.

Tasks:

2.6.1 Determine the accurate “as-built” dam geometries by reviewing available documentation associated with the design of the original dam and subsequent partial lift., as well as all available Construction Quality Assurance (CQA) records, noting any departures from design;

2.6.2 Review the 2d Limit Equilibrium modelling and determine likely mechanisms of potential failure;

2.6.3 Identify the most appropriate types of instrumentation and the locations where they should be installed and support provision for stability monitoring equipment;

The installation of the equipment will be guided and led by the Government of Solomon Islands in consultation with relevant authorities. This project does not have a provision for a drilling contractor or the supervision of the installation of instrumentation and monitoring equipment. The installation of the equipment will only be executed in close consultation with national stakeholders and authorities to ensure the long-term sustainability and security of the equipment in the location.

Output 2.7 Geotechnical assessment training and use of equipment.

Expected output: Regular inspections (at least weekly) of the TSF embankment, Saddle Dam and RWD by an individual trained in identifying critical information. This information, and measurements, would be recorded on a template. If adverse movements are noticed a geotechnical consultant is alerted. This would include the development of a Trigger Action Response Plan (“TARP”) for the monitoring undertaken (visual and equipment).

Rationale: Currently the dam sites are visited, at least once a week, by personnel taking environmental readings. It is suggested that this individual is trained in the recognition of signs of movement of the dam embankments and the operation of a photogrammetry drone to assess geometry changes in detail. These observations would be recorded in a template. If observations were of concern they would be reported to a nominated geotechnical engineer for interpretation.

Tasks:

2.7.1 Design a Trigger Action Response Plan (TARP) appropriate for the adopted monitoring regime including a simple, easy to use template for the recording of observations.

2.7.2 Training of the selected individual, on site;

2.7.3 Periodically review collated data.

Outcome 3. Project Management systems and mechanisms established for sound project execution and results delivery

Output 3.1 Coordination mechanisms and effective project management ensured

Expected Output: An effective coordination mechanism among the government ministries and key stakeholders established and the project is implemented with quality in a timely and effective manner.

Rationale: The success of this project depends on collaboration and effective information sharing amongst key ministries, namely MECDM, MMERE, MEM, NDMO and enhanced coordination amongst the relevant UN agencies, such as UNDP, WHO and OCHA. The progress of project implementation should be shared frequently through the project management mechanisms (see section on Project Management) with support from a project manager based in UNDP as a key coordination person, as well as the existing staff of UNDP in the areas of procurement and financial services and project management quality oversight from the Resilience and Sustainable Development Team and relevant experts from the wider UN network. A robust framework for monitoring and evaluation will be pursued during the project period.

Tasks:

- 3.1.1. Inception studies conducted to identify data and knowledge gaps to inform project formulation
- 3.1.2 Establish a project management structure (personnel and equipment) for timely and effective implementation
- 3.1.3. Establish a regular project management and monitoring system as per the project document (project board meetings, monitoring activities and independent evaluation)

III. RESULTS AND PARTNERSHIPS

a. Resources Required to Achieve the Expected Results

In order to achieve the expected results, the project would require the continued demonstration of leadership and commitment from the SIG, including ongoing technical support from the line ministries. This would include staff time and to some extent Ministerial Vehicles to go up to the site.

Also, the day to day operation of the project would require project support from the UNDP programme associate in raising request for payment and supporting the DRR specialists. In addition to that it would need the support of the RSD team leader to provide technical support to assist with the implementation of the project. UNDP's existing operations staff will provide support to the delivery of results in the area of procurement and financial transactions on a cost-recovery basis as per the UNDP-SIG agreement.

A key to achieving the end result is to coordinate well with other DRR related initiatives within the UN and Government to co-finance activities together.

b. Partnerships

This project is also linked to a number of other initiatives, the financing of which is considered as parallel.

In response to the request put forward by the Government of Solomon Islands, an aquatic and marine baseline assessment was conducted prior to dewatering of the Gold Ridge Tailings Storage Facility (TSF) under the support from UNDP. With the possible risk given both treated and untreated water was discharged into the natural environment, it is important to conduct a post dewatering environment impact assessment of the rivers connected to the Gold Ridge TSF. The EIA will determine any impacts to the environment as a result of the dewatering of both treated and untreated water. It will be done in line with the baseline assessment that has been undertaken before the dewatering. The impact assessment will provide us with possible ways to manage or address any impacts identified.

WHO to date has been supporting the efforts led by the government in monitoring and analysing the water quality in partnership with the Environmental Health Division and the National Public Health Laboratory. Ongoing and future support to the National Public Health Laboratory will include purchasing Glass ware and reagents, test kits equipment and possible support to repair the Atomic Absorption Spectrophotometer (AAS) which will be used for TSF monitoring and other emerging disasters. The AAS is a specialized equipment which can detect toxic heavy metals. This will help improve the in-country capacity available to do accurate testing and monitoring of the water quality. WHO is currently engaged in supporting the capacity assessment and gap analysis of the NPHL. The scope of this gap analysis could be extended to cover the other facilitates to critically and objectively assess the gaps and areas of improvements. At a minimum, the findings of the study will be built on by the study to be supported under this project.

c. Stakeholder Engagement

The target audience of the project at the institutional level are the government counterparts (boardmembers) that are responsible for managing risks at the Gold Ridge area. The project will work closely with the counterparts to ensure

that the gaps identified under the UNDAC recommendations and other recent assessments are addressed through capacity strengthening activities of technical line ministries as per highlighted in the outputs and activities.

At the community level, the downstream communities will be the focus of community contingency planning to ensure a readiness/preparedness plan is in place in cases of possible disasters associated with the TSF and RWD. The downstream communities will be represented by the Kolobisi Tailings Dam Association (KTDA) and the Matapono Downstream Association (MDA). The project will work through the government line ministries and TNC to inform the communities about the need for the contingency planning and provide awareness to all to ensure they are all informed of the community contingency plan and how it is linked to the other risk elements of the Disaster Zone. The community engagement and awareness raising work will be led by the provincial disaster officers from NDMO under close supervision and guidance by the director of NDMO.

This project was developed on the basis of consultations with a number of stakeholder representatives during the development of the project proposal and project document.

Taking an adaptive and collaborative management approach to execution, the project will ensure that key stakeholders are involved early on from the inception phase and throughout the project implementation as partners for development. This includes their participation in the Project Board, review of project outputs such as recommendations for amendments to policies, plans, programmes and legislation, as well as participation in monitoring activities.

d. Knowledge

The project board will play a critical role in ensuring effective sharing of knowledge emanating from the project. For technical reports the partners will work with partners to translate into awareness programmes that will be part of the contingency planning. Knowledge products are to be disseminated only once approved by the NDC Chair.

e. Sustainability

The sustainability of the project is ensured by building ongoing mechanisms for timely monitoring of the situation and information sharing that can be sustained through the existing government resources. The project will invest in training the government staff and also utilizing the existing government staff resources.

Prior to the project being formulated the government line ministries, GCIL and UN partners have already been progressively monitoring the water level, rainfall and sampling of arsenic and cyanide concentrations in the TSF and the receiving waters. The strong emphasis on improving the national capacity to carry out regular testing of water quality and others will be important for sustainability.

In terms of sustainability the contingency plans, the project will ensure that the contingency plans are in place to ensure sound coordination and that the plans will be linked to the government's ongoing and future planned initiatives in DRR and DRM.

IV. PROJECT MANAGEMENT

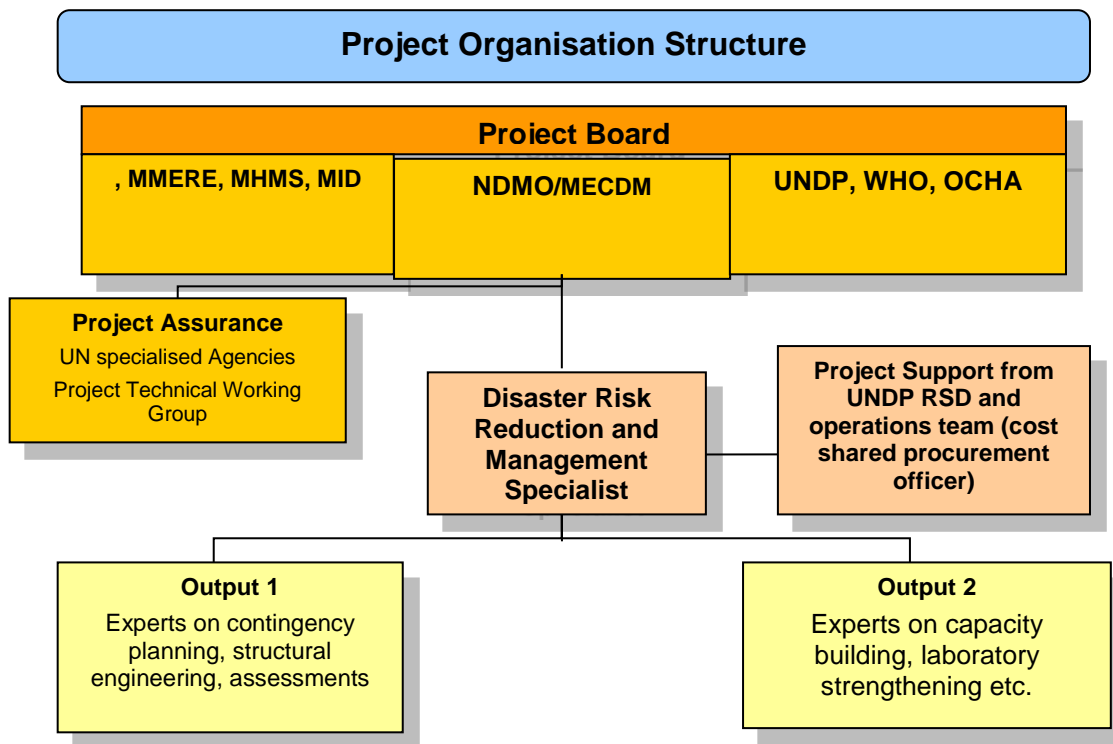
Given the multi-agency nature of the project, while this project will be implemented by Ministry of Environment, Climate Change, Disaster Management and Meteorology, Ministry of Mines, Energy and Rural Electrification as a National Implementation Modality, UNDP will be providing full NIM support. The activities will be implemented by United Nations agencies in close collaboration with relevant government institutions (MECDM, MMERE, MHMS) and other regional and national agencies. Throughout the process, the National Disaster Council (NDC) will guide the work, whereby operational matters are to be coordinated by the Chair of NDOC (Director NDMO) and subsequently reporting to ND. Relevant activities will be facilitated through relevant UN expert agencies, such as UNOCHA and WHO.

The responsibility for the execution of this project is with the Government of Solomon Islands. This role in some projects is reflected in the Standard Basic Assistance Agreement (SBAA) signed by UNDP with the Government (or other document of agreement with the host Government). UNDP and the MECDM will sign a Letter of Agreement to articulate the scope and parameters of the NIM implementation support by UNDP.

During the course of implementation, the project board (with advice from UNDP and national institutions) may identify a Responsible Party to carry out certain activities within the project. A Responsible Party is defined as an entity that has been selected to act on behalf of the project on the basis of a written agreement or contract to purchase goods or provide services using the project budget. In addition, the Responsible Party may manage the use of these goods and services to carry out project activities and produce outputs. All Responsible Parties are directly accountable to the MECDM in accordance with the terms of their agreement or contract with it.

Under the UNDP Financial Regulations and Rules 16.05, the Responsible Party may follow its own 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 the responsible party, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition that UNDP shall apply.

The direct implementation modality is based on the 2014 HACT Macro assessment and agreed with the Government of Solomon Islands



Project Board: This Board is specifically established by the project to provide management oversight of project activities and is to be chaired by UNDP and the MECDM (NDOC Chair). The Board will review progress and evaluation reports, and approve programmatic modifications to project execution, as appropriate and in accordance to UNDP procedures. In addition to the MECDM government membership of the Project Board will include the MMERE, MHMS, as well as representatives from the line ministries responsible and their respective state agencies. Non-state stakeholders will also be represented on the Project Board, namely from the private sector and research institutions, NGOs, and CSOs. Given the short period of implementation, the Project Board will meet four (4) times per year, practically at the UNDP Country Office, Headquarters, to ensure timely implementation of the project.

Project Management and support: The UNDP will establish a Project Management Unit (PMU) and appoint full-time Disaster Risk Reduction Specialist for the day-to-day management of project activities and subcontract specific components of the project to specialized government agencies, research institutions, as well as qualified NGOs. The PMU will be administered by a full-time Disaster Risk Reduction Specialist who will work closely with the UNDP Resilience and Sustainable Development Team as well as the UNDP operations staff in Honiara and Suva who will be responsible for providing services and support to the day to day administration of the project as per UNDP’s Direct Project Costing policy, and also responsible for technical input and support of the project. To expedite the procurement process, a cost-shared procurement officer based in UNDP will be providing dedicated support to the project.

Consultants: The project will contract experts as consultants to draft technical analyses and perform specialized services.

Technical Working Group (TWG): A working group comprised of independent experts, technical government agency representatives, as well as representatives from stakeholder groups will discuss and deliberate on the various technical analyses of the project activities

V. LOGFRAME

Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Long-term goal: To strengthen institutional capacities to effectively monitor the risks associated with the Tailings Storage Facility and the Return Water Dam					
<p>Project objectives:</p> <ol style="list-style-type: none"> To design contingency planning response to natural disaster events related to the TSF To strengthen the existing capacity of MECDM, MMERE, MHMS and other key stakeholders (RSIPF & GCIL) to effectively monitor the situation for risk management, early warning and response To conduct an environmental and socio-economic assessment of potential areas which will be affected in the event of any natural disaster related to the TSF 	<p>Outcome indicators:</p> <ul style="list-style-type: none"> Institutional capacity and interagency coordination by key gov't ministries are strengthened for improved Monitoring of the TSF and the Return Water Dam as well as having the capacity to respond to disasters 	<ul style="list-style-type: none"> Given the limited resources to date, the level of monitoring activities by GCIL, NPHL, MECDM, MMERE and UQ has been significant. However, a lack of coordination between these agencies has seen some duplication of effort and limited data sharing. 	<p>By the end of the project:</p> <ul style="list-style-type: none"> Contingency planning at the institutional and community levels are completed with better understanding of the TSF hydrology system, the surface profile and the contamination profile of the sediments, the dam model and structures, the likely and unlikely scenarios of TSF overflowing and the dam collapsing. The monitoring capacity of MECDM, MMERE, MHMS and other key stakeholders (RSIPF & GCIL) are strengthen to effectively monitor dam water level and quality at the TSF and the surrounding communities on a frequent basis The environmental and socio-economic impacts of potential areas which will be affected in the event of any natural disaster related to the TSF are known and understood by all key stakeholders and these impacts are communicated to the likely affected communities. 	<ul style="list-style-type: none"> Assessment reports Contingency plans Monitoring equipment 	<p>Risks:</p> <ul style="list-style-type: none"> Key government ministries MECDM, MHMS and MMERE are not working together to deliver the project expected outputs There is political instability and government development priorities and policies likely to change Target communities might not want to cooperate and to get involve in the implementation of the project activities because they are not well informed about the project.

Outcome 1: Contingency Planning exercise conducted and completed in an inclusive and participatory manner					
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
<p>Output 1.1: There will be a contingency plan for disaster risk reduction and mitigation at an institutional level with clearly defined sectoral response and preparedness plans, early warning procedures and coordination and management arrangements for various scenarios, including the priority scenario of spillovers, as well as dam collapse.</p>	<ul style="list-style-type: none"> Progress made towards the design, formulation and implementation of the contingency plan. 	<ul style="list-style-type: none"> No clear evacuation plans, or early warning systems in place Closest response is police at Teterere or Henderson, each taking time to get to site and assess the situation. There was a police post set up closer to the dam but this was abandoned in 2015 Different ministerial groups eg. Police have their own evacuation plans or procedures 	<ul style="list-style-type: none"> First draft of response/preparedness plans completed Q1 2017 Simulation/training exercises carried out by February 2017 	<ul style="list-style-type: none"> Records of conducted Interviews Meeting Reports Training workshop materials Plans Reports 	<p>Assumptions:</p> <ul style="list-style-type: none"> Institutions and working groups are open to proposed coordination agreements and there is no active institutional resistance
<p>Output 1.2: There will be a village or community disaster preparedness and response plan with clearly identified early warning and evacuation procedures and leadership and coordination structures as well as available resources at the community level.</p>	<ul style="list-style-type: none"> Progress made towards the design, formulation and implementation of the contingency plan 	<ul style="list-style-type: none"> No disaster preparedness or response plans in place for downstream communities Leadership structures in place that can be used in planning and coordination include chiefs, church leaders and landowner groups such as MDA, KTDA and GRCLC 	<ul style="list-style-type: none"> Community disaster preparedness and response plan completed by Q2 2017 	<ul style="list-style-type: none"> Community consultation reports Training workshop materials Plans 	<p>Assumptions:</p> <ul style="list-style-type: none"> Communities will see the importance, value and the need for disaster preparedness and response plans, and cooperate fully with government
<p>Output 1.3: A clear understanding of the “as built” stability of the TSF embankment, Saddle Dam and RWD will be established. This will provide an understanding of the dam walls sensitivity to elevated phreatic surfaces</p>	<ul style="list-style-type: none"> A clear understanding of the “as built” stability of the TSF embankment, Saddle Dam and RWD is established 	<ul style="list-style-type: none"> Not clear at this stage the impact or effect that elevated water levels have had on the stability of these structures. 	<ul style="list-style-type: none"> Clear understanding established by Q1 of 2017 	<ul style="list-style-type: none"> Work plan Field reports/raw data sheets Draft reports 	<p>Assumptions:</p> <ul style="list-style-type: none"> All documents (designs of original dam and CQA) required for reviews are easy to access and available

and to earthquake loading.					
Output 1.4: A clear understanding of the downstream area affected by a catastrophic dam break. This study would focus on the potential liquefaction of the tailings dam materials and the extent to which they would generate a “mudflow”.	<ul style="list-style-type: none"> Improved understanding on the impact of a catastrophic dam break event and the possible coverage area 	<ul style="list-style-type: none"> No clear understanding in place of which areas will be worst affected by dam break, causes nearly all communities to be fearful. Unknown if this risk was fully identified and understood during design and construction of the dam 	<ul style="list-style-type: none"> Study on the potential impact of catastrophic dam break conducted. Report on findings of study completed and made available to stakeholders Held discussions with the downstream communities. 	<ul style="list-style-type: none"> Field study work plan Draft Reports 	Assumptions: <ul style="list-style-type: none"> Situation around the vicinity of the TSF is safe with no fear of security issues.
Output 1.5: Understanding of potential for high Arsenic concentrations to be released from tailings sediments during both normal conditions and extreme events (dam failure)	<ul style="list-style-type: none"> Improved understanding of arsenic concentrations level on the rivers 	<ul style="list-style-type: none"> UQ monitoring and assessment team observed an increase in the concentration of dissolved arsenic in the supernatant water, conditions causing this occurrence are unknown at this stage 	<ul style="list-style-type: none"> Contractors/consultants to perform work identified Work plan/ methodology submitted Field work (sampling, parameter measurement) commence Lab analyses and reports Collating data and first draft prepared 	<ul style="list-style-type: none"> Field work plan Field work reports 	Assumptions: <ul style="list-style-type: none"> Weather situation is normal with no natural disaster event happening during the assessment.
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Outcome 2: The capacity of SIG on early warning and detection enhanced to effectively monitor the situation for early warning and response					
Output 2.1 NDMO receives live data on TSF water level upon which to make critical contingency responses in emergency situations	<ul style="list-style-type: none"> Number and frequency of live data received by NDMO to make timely response to emergency situation 	<ul style="list-style-type: none"> Dewatering exercise conducted and reduced the water level which currently at 1.8 m. Rainfall can rapidly increase the water level of the TSF, with daily increases of 100-300 mm and during wet season and the potential for catastrophic outcomes if the dam main embankment is breached, 	<ul style="list-style-type: none"> Monitoring stations are identified Procurement and installation of monitoring instruments done Testing of installed monitoring instruments 	<ul style="list-style-type: none"> Reports of TSF water level Monitoring stations installed within the TSF and downstream in Metapona. 	Assumption <ul style="list-style-type: none"> Monitoring equipment and instruments are working properly and well secured from any vandalism activity

<p>Output 2.2 Identify existing capacity and resource requirements to improve functioning of NPHL and MMERE Geochemistry Laboratory and facilitate filling the gaps to allow for regular monitoring exercises of water quality for environmental and health impact.</p>	<ul style="list-style-type: none"> ▪ Number samples testing locally by NPHL and Geo Lab increased ▪ Time taken for results to be made available is reduced 	<ul style="list-style-type: none"> ▪ Up until now, water samples collected from various points, including those at the downstream have to be sent to mainly Australia for testing. This contributes to increased costs and delays in receiving results. 	<ul style="list-style-type: none"> ▪ In country testing of water samples collected reducing costs and processing time. ▪ National institutions equipped with tools and human resources to carry out these routine tasks. ▪ Capacity and needs assessment of both the NPHL (MHMS) and the Geochemistry Laboratory (MMERE) is conducted. Ridge issue (and more broadly). 	<ul style="list-style-type: none"> ▪ TOR for consultant ▪ Contract ▪ Capacity assessment reports 	
<p>Output 2.3 Members of downstream and affected communities fully made aware of possible risks and mitigating measures through the design and roll out of awareness programs</p>	<ul style="list-style-type: none"> ▪ The number of community consultations conducted with downstream communities 	<ul style="list-style-type: none"> ▪ Currently there has been a lack of proper communication channels. ▪ Uncensored and conflicting information received by communities causing fears 	<ul style="list-style-type: none"> ▪ Public communication strategy completed ▪ Trainings are conducted for the relevant SIG staff Community awareness meetings are conducted within the downstream communities 	<ul style="list-style-type: none"> ▪ Community awareness materials ▪ Training materials ▪ Community awareness plan 	<p style="text-align: center;">Risks</p> <ul style="list-style-type: none"> ▪ Dissatisfied communities or members not wanting to cooperate in the consultations
<p>Output 2.4 Possible impact of TSF spill over and dam wall break scenarios-including health, economic, environmental, social, security to guide contingency planning identified through an independent assessment</p>	<ul style="list-style-type: none"> ▪ Better understanding of spill over impact of TSF under the identified scenarios 	<ul style="list-style-type: none"> ▪ Approximately 20k m3 of untreated tailings water discharged into rivers ▪ Holistic assessment of environmental, social, health and economic impacts is required. ▪ Initial results from water and sediment quality assessments indicate no detectable impacts and the length of time that has passed since the spillover. 	<ul style="list-style-type: none"> ▪ Qualitative assessment reports 	<ul style="list-style-type: none"> ▪ TOR for consultant ▪ Contract ▪ Assessment reports 	<ul style="list-style-type: none"> ▪
<p>Output 2.5 A joint SIG (MHMS, MMERE, MECDM) environmental monitoring team trained and equipped to conduct joint</p>	<ul style="list-style-type: none"> ▪ # percent improvement in the overall monitoring and testing capacities of NPHL (MHMS) and Geo Lab (MMERE) in the 	<ul style="list-style-type: none"> ▪ Separate monitoring teams from each ministry but no proper coordination mechanism in place ▪ Capacity exist within MECDM, MHMS, MMERE to develop a 	<ul style="list-style-type: none"> ▪ Monitoring team structure with roles and responsibilities established ▪ Procurement of monitoring equipment ▪ Training for monitoring 	<ul style="list-style-type: none"> ▪ TOR for consultant ▪ Contracts ▪ Reports on training conducted 	<ul style="list-style-type: none"> ▪ The partnership in the monitoring team structure with roles and responsibilities is positive and good working relationship is maintained.

monitoring activities	availability of data and the number samples tested locally	high quality monitoring program	team conducted		
<p>Output 2.6</p> <p>Provide information required and recommendations to allow for an eventual installation of on-site instrumentation integrated with remote sensing solutions that will facilitate an understanding of the ongoing stability of the TSF embankment, the Saddle Dam and the RWD. Instrumentation may be linked by telemetry to warning devices that can alert relevant personnel in the event of movements outside of set thresholds</p>	<ul style="list-style-type: none"> ▪ # percent improvement in the overall monitoring and testing capacities of NPHL (MHMS) and Geo Lab (MMERE) in the availability of data and the number samples tested locally 	<ul style="list-style-type: none"> ▪ Piezometers and prisms were installed at the TSF embankment and were monitored at regular intervals to ensure that the embankment was behaving as designed ▪ Currently there is no instrumentation installed in any of the embankments. 	<ul style="list-style-type: none"> ▪ Assessment of TSF and RWD done ▪ Identified installations sites for prisms, InSAR reflectors, piezometers and inclinometers are installed within the TSF embankment, the Saddle Dam and RWD. ▪ Complete installation of prisms, InSAR reflectors, piezometers and inclinometers 	<ul style="list-style-type: none"> ▪ TOR for consultant ▪ Contracts ▪ Assessment of report ▪ Installation report 	<ul style="list-style-type: none"> ▪ Monitoring equipment and instruments are working properly and well secured from vandalism
<p>Output 2.7</p> <p>Regular inspections (at least weekly) of the TSF embankment, Saddle Dam and RWD by an individual trained in identifying critical information. This information, and measurements, would be recorded on a template. If adverse movements are noticed a geotechnical consultant is alerted. This would include the development of a Trigger Action Response Plan (“TARP”) for the</p>	<ul style="list-style-type: none"> ▪ # percent improvement in the overall monitoring and testing capacities of NPHL (MHMS) and Geo Lab (MMERE) in the availability of data and the number samples tested locally <p>Frequency of inspections -</p>	<ul style="list-style-type: none"> ▪ Weekly sites visit to the TSF by personnel taking environmental readings 	<ul style="list-style-type: none"> ▪ Relevant training conducted for individual to recognize signs of movement of the dam embankments ▪ Use of proper design template to record observations ▪ Nominated geotechnical engineer for interpretation. ▪ 	<ul style="list-style-type: none"> ▪ TOR for nominated geotechnical engineer ▪ Contract ▪ Training Materials ▪ Reports 	<ul style="list-style-type: none"> ▪ Monitoring equipment and instruments are working properly and well secured from vandalism

monitoring undertaken (visual and equipment).					
Project Strategy	Objectively verifiable indicators			Sources of verification	Risks and Assumptions
	Indicator	Baseline value	Target value and date		
Outcome 3: Project Management systems and mechanisms established for sound project execution and results delivery					
Output 3.1 An effective coordination mechanism among the government ministries and key stakeholders established and the project is implemented with quality in a timely and effective manner	<ul style="list-style-type: none"> # percent progress on the implementation of the project planned outputs 	<ul style="list-style-type: none"> Project activities already started for six months Project outcomes agreed on Key stakeholders in the overall project had been consulted 	<ul style="list-style-type: none"> Project document complete Project budget confirm Project staff recruit 	<ul style="list-style-type: none"> Project progress reports Project staff contracts 	

VI. MONITORING AND EVALUATION

Project monitoring and evaluation will be conducted in accordance with established UNDP procedures. The project team and the UNDP Country Office (UNDP CO) will undertake monitoring and evaluation activities together with key national stakeholders. The logical framework provides a logical structure for monitoring project performance and delivery using SMART indicators during project implementation. The output budget and the work plan in the UNDP project document provide additional information for the allocation of funds, both, for expected project deliverables and the timing of project activities to produce these deliverables.

The following sections outline the principal components of monitoring and evaluation. The project's monitoring and evaluation approach will be discussed during the project's initiation phase (first 6 months) so as to fine-tune indicators and means of verification, as well as an explanation and full definition of project staff M&E responsibilities. . The logical framework will be further elaborated during the Year 1 to ensure baseline is established and the proposed indicators are monitorable.

Day-to-day monitoring of implementation progress will be the responsibility of the Disaster Risk Reduction and Management Specialist based on the project's Annual Work Plan and its indicators. The Disaster Risk Reduction and Management Specialist will inform the UNDP CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

The Disaster Risk Reduction and Management Specialist will fine-tune outcome and performance indicators in consultation with the full project team and key stakeholders at the inception workshop, with support from UNDP CO. Specific targets for the first year implementation performance indicators, together with their means of verification, will be developed at the initiation workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Annual Work Plan. Targets and indicators for subsequent years would be defined annually as part of the internal evaluation and planning processes undertaken by the Project Team, and agreed with the Ministry of Environment, Climate Change, Disaster Management, and Meteorology, among other key project partners sitting on the Project Board.

Quarterly and Annual monitoring of implementation progress will be undertaken by the UNDP CO and the Project Board through the provision of quarterly reports from the Disaster Risk Reduction and Management Specialist. Since this project is only for 18 months and therefore requires close monitoring to ensure timely execution of activities, the board will be meeting every quarter during the project board meeting where progress towards the achievement of intended targets and movement of indicators or lack thereof will be presented by the Disaster Risk Reduction and Management Specialist.

Annual Monitoring will occur through the Annual Project Board meeting. This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to Project Board meetings at least twice per year. The first such meeting will be held within the first twelve months following the initiation workshop. For each year-end meeting of the Project Board, the Disaster Risk Reduction and Management Specialist will prepare harmonized Annual Project Report (APR) and submit it to UNDP CO, and all Project Board members at least two weeks prior to the meeting for review and comments.

The APR will be used as one of the basic documents for discussions in the Project Board year-end meeting. The Disaster Risk Reduction and Management Specialist will present the APR to the Project Board members, highlighting policy issues and recommendations for the decision of the Committee participants. The Disaster Risk Reduction and

Management Specialist will also inform the participants of any agreement(s) reached by stakeholders during the APR preparation, on how to resolve operational issues. Separate reviews of each project output may also be conducted, as necessary. A standard format/template for the APR is provided by UNDP. This includes the following:

- Progress made toward project objective and project outcomes, each with indicators, baseline data and end-of-project targets (cumulative)
- Project outputs delivered per project outcome (annual).
- Lesson learned/good practice.
- AWP and other expenditure reports
- Risk and adaptive management
- ATLAS QPR

UNDP will analyze the individual APR by focal area, theme and region for common issues/results and lessons. The APR are also valuable for the independent evaluators who can utilize them to identify any changes in the project's structure, indicators, work plan, among others, and view a past history of delivery and assessment.

The terminal review meeting is held by the Project Board, with invitation to other relevant Government and municipal stakeholders as necessary, in the last month of project operations. The Disaster Risk Reduction and Management Specialist is responsible for preparing the terminal review report and submitting it to UNDP COs, and all participants of the terminal review meeting. The terminal review report will be drafted at least one month in advance of the terminal review meeting, in order to allow for timely review and to serve as the basis for discussion. The terminal review report considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and contributed to the broader environmental objective. The report also decides whether any actions remain necessary, particularly in relation to the sustainability of project outputs and outcomes, and acts as a vehicle through that lessons learned can be captured to feed into other projects under implementation or formulation. The terminal review meeting should refer to the independent final evaluation report, conclusions and recommendations as appropriate.

Quarterly Progress Monitoring

- Progress made will be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS
- Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs can be used to monitor issues, lessons learned etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

During the last three months of the project, the PMU will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the project, lessons learned, the extent to which objectives have been met, structures and mechanisms implemented, capacities developed, among others. Together with the independent final evaluation, the project terminal report is one of two definitive statements of the project's activities during its lifetime. The project terminal report will also recommend further steps, if necessary, in order to ensure sustainability and replicability of the project outcomes and outputs.

An independent final evaluation will take place three months prior to the terminal tripartite review meeting, and will focus on: a) the cost-effectiveness, efficiency and timeliness of project implementation and performance; b) highlight issues requiring decisions and actions; and c) present initial lessons learned about project design, implementation and

management. Findings of this evaluation will be incorporated as lessons learned, and recommendations for improvement addressed to ensure the institutional sustainability of project outputs, particular for the replication of project activities. The final evaluation will also look at project outcomes and their sustainability. The final evaluation should also provide recommendations for follow-up activities, as appropriate. The terms of reference for the final evaluation will be prepared by the UNDP CO based on guidance from the UNDP, in consultation with the MECDM

The Disaster Risk Reduction and Management Specialist will provide the UNDP Country Manager with certified periodic financial statements relating to the status of DFAT funds according to the established procedures set out in UNDP's Programming and Finance manuals.

Learning and knowledge sharing: Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. There will be a two-way flow of information between this project and other projects of a similar focus.

Gender Equality: Particular attention will be given to assessing the project's impact against UNDAF Outcome 2 on gender. The UNDAF Results Matrix will be used to assess gender-specific indicators, such as percentage of women in leadership position, e.g., in the National Technical working Committee and number of gender advocates, gender trainers, and gender analysts in the project's decision-making structures and mechanisms.

Communications and visibility requirements: Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used.

Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

Monitoring and Evaluation Work Plan and Budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> ▪ Disaster Risk Reduction and Management Specialist will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. 	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> ▪ Oversight by Disaster Risk Reduction and Management Specialist ▪ Project team 	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR and to the definition of annual work plans

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
ARR	<ul style="list-style-type: none"> ▪ Disaster Risk Reduction and Management Specialist and team ▪ UNDP CO 	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> ▪ Disaster Risk Reduction and Management Specialist and team 	None	Quarterly
Final Evaluation	<ul style="list-style-type: none"> ▪ Disaster Risk Reduction and Management Specialist and team, ▪ UNDP CO ▪ External Consultants (i.e. evaluation team) 	Indicative cost : 10,000	At least three months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> ▪ Disaster Risk Reduction and Management Specialist and team ▪ UNDP CO 	0	At least three months before the end of the project
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP CO ▪ Government representatives 		Yearly
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses			

I. TOTAL BUDGET AND Multi-Year Work Plan										
Award ID:	00097191	Project ID:	00101021							
Project Title	Gold Ridge Tailings dam and return dam risk management project									
Business Unit:	FJI10									
Implementing Partner (Executing Agency)	Ministry of Environment, Climate Change, Disaster Management and Meteorology,									
EXPECTED Outcomes	PLANNED OUTPUTS	RESPONSIBLE PARTY	PLANNED BUDGET						Budget Note	
			Funding Source	Atlas Budget Code	Budget Description	Year 2016	Year 2017	Amount		
Outcome 1 Contingency plans developed and put in place in an inclusive and participatory manner	1.1 Institutional contingency plans developed and put in place in an inclusive and participatory manner	UNDP with substantive inputs from NDMO	DFAT	71200	International Consultant (Contingency Planning)	25,608.00	33,056.00	58,644.00	1.1 A	
	1.1.1 Conduct lessons learning of the April 2016 experience by interviewing stakeholders on how agencies responded to the event and discuss areas of improvements.					22,108.00	28,056.00	1.1 A		
	1.1.2: Conduct meetings and working sessions with board stakeholders to discuss draft contingency response to various scenarios, with a priority given to future spillover events while also addressing the possibility of dam failure (if proven probable through the assessments).					Local Travel	0.00	1,000.00		1.1 B
						Training, Workshop, Conference	3,500.00	4,000.00		1.1 C
			75200	Office supplies	500.00	500.00	1.1 D			

1.2 Contingency Plan for communities at risk developed and implemented with inclusive participation of key stakeholders, including communities					0.00	38,000.00	38,000.00	
1.2.1 Initiate discussions with community leaders to inform them of the rationale for establishing a community based disaster preparedness and response planning for spillway overflow and conduct discussions with community leaders to mobilize community members for planning including preparation of resources to conduct the planning exercise. An agreement on the best time for planning without affecting community livelihood activities.	UNDP/ NDMO	DFAT	71200	International Consultant	0.00	30,000.00		1.2 A
1.2.2 Conducting community planning exercise.			75700	Training, Workshop, Conference	0.00	5,000.00		1.2 B
1.2.3 Drafting of the plan and development of simple tools to communicate the plan			75200	Office supplies	0.00	1,000.00		1.2 C
1.2.4 Testing of the plan through simulation and drills.			71600	Local Travel	0.00	2,000.00		1.2 D
1.3 TSF and RWD Stability Modelling conducted to inform contingency planning					0.00	26,000.00	26,000.00	
1.3.1 Review any available documentation associated with the design of the original dam and subsequent partial lift.	UNDP with Support from NDMO/ MMER/ E/MHM S/ECD/ GP/TN C	DFAT	71200	International Consultants	0.00	25,000.00		1.3 A
1.3.2 Review all available Construction Quality Assurance (CQA) records, noting any departures from design;								
1.3.3 Determine the accurate “as-built” dam geometries;			71600	Local Travel	0.00	1,000.00		1.3 B

1.3.4 Assess appropriate material parameters to be used in the construction of the 2D limit equilibrium model;									
1.3.5 Assess available piezometric information;									
1.3.6 Evaluate seismic risk;									
1.3.7 Run sensitivities to piezometric levels and material parameters									
1.4 Catastrophic Dam Break scenario modelling					0.00	27,000.00	27,000.00		
1.4.1 Determine the accurate “as-built” dam and tailings deposition geometries;	UNDP with support from NDMO/MMER E/ECD/MHMS	DFAT	71200	International Consultant	0.00	25,000.00		1.4 A	
1.4.2 Evaluate the material parameters of the stored tailings;			71600	Local Travel	0.00	2,000.00		1.4 B	
1.4.3 Evaluate the moisture content and potential for liquefaction;									
1.4.4 Acquisition of LIDAR data to generate an accurate topographic profile downstream;									
1.4.5 Undertake run out modelling based on the derived inputs;									
1.4.6 Run sensitivities to input parameters.									
1.5 Assessment of TSF tailings sediments-depth, volume, contaminant levels, density, chemical interaction with surface waters (fluxes)			UNDP with support from MMER E/NDMO/ECD/MHMS	DFAT			0.00	43,000.00	43,000.00
1.5.1: Water quality profiling through water column to sediment-water interface	71200	International Consultants			0.00	25,000.00		1.5 A	
1.5.2: Assessment of arsenic and cyanide concentrations within TSF sediment porewaters for identification and mapping of hotspots									

	1.5.3: Mapping of TSF sediments including coring for density, arsenic and cyanide concentrations			71300	National Consultant	0.00	12,000.00		1.5 B	
	1.5.4 sediment core incubations from hotspots to determine flux rates			71600	Local Travel	0.00	2,000.00		1.5 C	
	1.5.5 Hydrological assessment undertaken for the TSF catchment under defined high seasonal rainfall sequences and extreme rainfall events			75700	Training, Workshop, Conference	0.00	4,000.00		1.5 D	
	1.5.6 Risk assessment undertaken for defined events and spill-over scenarios developed to inform contingency planning									
	Sub-Total for Output 1					25,608.00	167,056.00	192,664.00		
Outcome2	2.1 A real-time monitoring of Tailings dam water level, rainfall, arsenic and turbidity made available for enhanced early warning and detection capacity.)					0.00	145,806.00	145,806.00		
The capacity of SIG on early warning and detection enhanced to effectively monitor the situation for early warning and response	2.1.1: Design of network-variables, locations, security, data management	UNDP with support from MECD M/MM ERE	DFAT	71200	International Consultant	0.00	40,000.00		2.1 A	
	2.1.2: Procurement and installation monitoring instruments			75300	Materials and Goods	0.00	100,306.00		2.1 B	
	2.1.3: Maintenance, training of SIG and data management				71600	Local Travel	0.00	1,500.00		2.1 C
					75700	Training, Workshop, Conference	0.00	4,000.00		2.1 D
	2.2 Capacity and needs of analysis of the National Public Health Laboratory (MHMS) and Geochemistry Laboratory (MMERE) for regular testing and monitoring assessed and gaps reduced	UNDP with support from MECD M/MM ERE/M	DFAT				0.00	34,000.00	34,000.00	

2.2.1 Specialised laboratory accreditation and management consultant to provide assessment of existing capacity and future needs of NPHL and MMERE laboratories. This will be building on the assessment supported by WHO through the MHMS.	HMS		71200	International Consultants	0.00	32,000.00		2.2 A
			71600	Local Travel	0.00	1,000.00		2.2 B
2.2.2 Make provisions for technical and equipment support within the scope and means of the project to fill the capacity gaps.			75700	Training, Workshop, Conference	0.00	1,000.00		2.2 C
2.3 Members of downstream and affected communities fully made aware of possible risks and mitigating measures through the design and roll out of awareness programs					0.00	30,500.00	30,500.00	
2.3.1 Developing awareness materials to be used for different scenarios (eg: broad information to be used generally, specific information related to dewatering, spillover, dambreak scenarios)	UNDP with Support from MECD M/MM ERE	DFAT	71300	National Consultant	0.00	10,000.00		2.3 A
			75300	Materials and Goods	0.00	8,000.00		2.3 B
2.3.2 Training of relevant SIG staff in protocols and dissemination of awareness materials and carrying out community outreach efforts to complement the existing			71600	Local Travel	0.00	3,500.00		2.3 C
			75700	Training, Workshop, Conference	0.00	8,000.00		2.3 D
			75200	Office supplies	0.00	1,000.00		2.3 E
2.4 Identification of key impacts from spillover and dambreak scenarios to guide contingency planning	UNDP/ MECD M/MM ERE	DFAT			0.00	24,000.00	24,000.00	

2.4.1: Qualitative impact assessment report on likely environmental, social, health and economic impacts from uncontrolled spillover of the TSF			71200	International Consultant	0.00	24,000.00		2.4 A
2.4.2: Qualitative impact assessment report on likely environmental, social, health and economic impacts from the failure of the TSF dam (dambreak scenario)								
2.5 Capacity of SIG staff enhanced to monitor tailings dam and downstream areas independently.					0.00	106,000.00	106,000.00	
2.5.1: Design of monitoring team structure, roles, responsibilities, data management, equipment, resources required	UNDP/MECD M/MM ERE	DFAT	71200	International Consultant	0.00	30,000.00		2.5 A
2.5.2: Provision for equipment and training programme for MHMS, MECDM, MMERE			75300	Materials and Goods	0.00	30,000.00		2.5 B
			75700	Training, Workshop, Conference	0.00	16,000.00		2.5 C
2.5.4: Ongoing mentorship program			72200	Motor Vehicle	0.00	30,000.00		2.5 D
2.6 Installation of monitoring equipment at the TSF, Saddle Dam and RWD					0.00	22,000.00	22,000.00	
2.6.1 Determine the accurate “as-built” dam geometries by reviewing available documentation associated with the design of the original dam and subsequent partial lift., as well as all available Construction Quality Assurance (CQA) records, noting any departures from design;	UNDP/MECD M/MM ERE	DFAT	71200	international Consultant	0.00	20,000.00		2.6 A

3.0 Project Management	2.6.2 Review the 2d Limit Equilibrium modelling and determine likely mechanisms of potential failure; 2.6.3 Identify the most appropriate types of instrumentation and the locations where they should be installed and support provision for stability monitoring equipment;			71600	Local Travel	0.00	2,000.00		2.6 B
	2.7 Geotechnical assessment training and use of equipment.					0.00	37,000.00	37,000.00	
	2.7.1 Design a Trigger Action Response Plan (TARP) appropriate for the adopted monitoring regime including a simple, easy to use template for the recording of observations.	UNDP/MECD M/MM ERE	DFAT	71200	International Consultants	0.00	30,000.00		2.7 A
	2.7.2 Training of the selected individual, on site;			71600	Local Travel	0.00	2,000.00		2.7 B
	2.7.3 Periodically review collated data.			75700	Training, Workshop, Conference	0.00	5,000.00		2.7 C
	Sub-Total for Output 2					0.00	399,306.00	399,306.00	
	3.0 Coordination mechanisms and effective project management ensured.					8,783.00	70,487.86	79,270.86	
3.1. Project Management Unit (PMU)	UNDP	DFAT /UND P							
3.1.1 Inception studies conducted to identify data and knowledge gaps to inform project formulation			75700	Training, Workshop, Conference	2,614.00	4,706.86		3.1 A	
3.1.2 Establish a project management structure (personnel and equipment)			71400	Service contracts	4,000.00	42,000.00		3.1 B	

for timely and effective implementation 3.1.3 Establish a regular project management and monitoring system as per the project document (project board meetings, monitoring activities and independent evaluation)			75200	Office supplies	0.00	3,326.00		3.1 C
			72800	Infor/Technology Equipment	0.00	5,306.00		3.1 D
			71300	Office Rental	1,669.00	6,676.00		3.1 E
			64300	Direct Project Cost	150.00	2,543.00		3.1 F
			74500	Direct Project Cost	350.00	5,934.00		3.1 G
3.2 Monitoring and Evaluation (M&E)	UNDP/ External consultants	DFAT	71200	International Consultant	0.00	25,000.00		3.2 A
3.3 General Management Support (8%)	UNDP	DFAT	75100	Facility and Admin (implement)	18,360.00	35,399.14		3.3 A
Sub-Total for Output 3					27,143.00	130,887.00	158,030.00	
TOTAL					52,751.00	697,249.00	750,000.00	

VII. LEGAL CONTEXT AND RISK MANAGEMENT

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the Standard Basic Assistance Agreement [or other appropriate governing agreement] and all CPAP provisions apply to this document.

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.

The implementing partner shall:

- 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;
- Assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

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 this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the 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/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

The UNDP Country Manager in The Solomon Islands is authorized to effect in writing the following types of revisions to this project document, provided that s/he has verified the agreement thereto by the UNDP Regional Coordinating Unit and is assured that other signatories to the project document have no objections to the proposed changes:

- Revision of, or addition to, any of the annexes to the project document;
- Revision which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;
- Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and

- Inclusion of additional attachments only as set out here in the project document

RISK MANAGEMENT STANDARD CLAUSES

1. UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP agrees to undertake all reasonable efforts to ensure that none of the [project funds]³ [UNDP funds received pursuant to the Project Document]⁴ 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. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Consistent with UNDP's Programme and Operations Policies and Procedures, 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>).
4. 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.
5. 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.
6. 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.

³ To be used where UNDP is the Implementing Partner

⁴ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

7. 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.

VIII. ANNEXES

i) Project Quality Assurance Report

PROGRAMME QA ASSESSMENT: DESIGN & APPRAISAL				
OVERALL PROGRAMME				
EXEMPLARY (5) ●●●●●	HIGH (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
70-72 points	60-69 points	46-59 points	30-45 points	24-29 points
DECISION				
<ul style="list-style-type: none"> • APPROVE – the programme is of sufficient quality to continue as planned. • APPROVE WITH QUALIFICATIONS – the programme has issues that must be addressed before the country programme document can be cleared for submission to the Executive Board. • DISAPPROVE – the programme has significant issues that require substantial revision before it is reviewed again. 				
RATING CRITERIA				
(For each question, select the option from 1-3 that best reflects the programme)				
STRATEGIC				
1. Is the programme’s analysis of the issues rigorous and credible, and does the Theory of Change specify an evidence-based and plausible change process/pathway? <ul style="list-style-type: none"> • 3: The programme has an analysis and theory of change with a clear and plausible change pathway backed by credible evidence, that has been used to define the programme priorities. The CPD describes why the programme’s strategy is the best approach at this point in time. • 2: The programme has an analysis and theory of change backed by some evidence that has been used to define the programme priorities. • 1: The programme is described in generic terms and analysis is not backed by credible evidence. There are no citations of evaluations, assessments, research or data. Programme priorities are poorly articulated. 	3	2		
	1			
	Evidence			
2. Does the CPD adequately describe UNDP’s comparative advantage in the chosen programme priorities? <ul style="list-style-type: none"> • 3: Analysis has been conducted on the role of other partners in the areas that the programme intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the programme, including through evaluations and past lessons learned (i.e., what has worked in similar contexts.) • 2: Some analysis has been conducted on the role of other partners in the areas that the programme intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the programme. • 1: No analysis has been conducted on the role of other partners in the areas that the programme intends to work to inform the design of the role envisioned by UNDP and other partners through the programme. 	3	2		
	1			
	Evidence			
3. Is the programme thematically aligned with the UNDP Strategic Plan?	3	2		
	1			

<ul style="list-style-type: none"> • 3: Programme priorities explicitly reflect one or more areas of development work^[1] as specified in the Strategic Plan (SP.) It integrates among programme priorities one or more of the proposed new and emerging areas^[2] and the programme’s RRF includes at least one SP outcome indicator per programme outcome. • 2: Programme priorities are consistent with the three areas of development work as specified in the SP. The programme’s RRF includes at least one SP outcome indicator per programme outcome. • 1: Some programme priorities clearly fall outside of the three areas of development work as specified in the SP without any justifiable programmatic rationale. 	Evidence	
<p>4. Is UNDP working with other UN agencies to achieve joint results?</p> <ul style="list-style-type: none"> • 3: The programme includes up to four outcomes which exactly match the relevant UNDAF outcomes. The CPD explains UNDP’s role in relation to other UN agencies in achieving these results, based on comparative advantage. Priorities for strengthening partnerships with other UN agencies are clearly identified. • 2: The programme includes up to four outcomes which exactly match the relevant UNDAF outcomes. Some explanation is given of the roles of UNDP and other UN agencies in achieving these results, and of the partnerships required for this. • 1: Some programme outcomes may not be directly aligned with the UNDAF outcomes. There is not a clear explanation of the roles of UNDP and other agencies in achieving joint results. 	3	2
	1	
	Evidence	
RELEVANT		
<p>5. Is the proposed programme responsive to national priorities?</p> <ul style="list-style-type: none"> • 3: There is credible evidence that all of the proposed programme outcomes and indicative outputs are fully responsive to national priorities. • 2: There is some evidence that the proposed programme outcomes and indicative outputs contribute to national priorities. • 1: There is no evidence that the programme responds to national priorities. 	3	2
	1	
	Evidence	
<p>6. Does the CPD consistently apply an issue-based approach to its rationale, programme priorities, partnerships and monitoring and evaluation?</p> <ul style="list-style-type: none"> • 3: The programme rationale elaborates on multidimensional development issues in describing the development context of the country. Programme priorities involve collaborative and integrated multi-sectoral work (e.g., around target groups or geographic areas) and the engagement of partners to complement UNDP expertise. M&E frameworks are built around a broad range of evidence that facilitate understanding of interconnections among development results and challenges in different areas. • 2: The programme rationale describes the development context of the country, exploring at least some interconnections among identified development challenges. Programme priorities are defined as collaborative and multi-sectoral areas of work, including by engaging partners to complement UNDP expertise. M&E frameworks help understand the interconnection of development results and challenges. • 1: The programme rationale mostly describes a list of development challenges, without exploring their interconnections, and the country profile is not clear. Programme priorities are mostly formulated on a sectoral/practice base and without a clear role for partners. The M&E framework relies mostly on sectoral evidence. 	3	2
	1	
	Evidence	
<p>7. Has adequate gender analysis been conducted for the proposed programme, and has the design of the programme addressed the results of the gender analysis?</p> <ul style="list-style-type: none"> • 3: Gender analysis has been conducted, and gender equality concerns are fully and consistently reflected in the programme rationale, priority areas and corresponding RRF through at least one gender-specific outcome, and indicative outputs and indicators, where appropriate, and at least 15% of the budget allocated for gender specific results. • 2: Gender analysis has been partially conducted, and gender equality concerns are reflected in the programme 	3	2
	1	
	Evidence	

[1] 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

[2] Sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

<p>rationale, priority areas and corresponding RRF through gender-specific outcomes, and/or indicative outputs and indicators, where appropriate.</p> <ul style="list-style-type: none"> • 1: Programme priorities do not consider gender-specific needs or issues. 	
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SOCIAL & ENVIRONMENTAL STANDARDS

<p>8. Has the programme adequately considered the potential risks and opportunities related to gender equality and women’s empowerment?</p> <ul style="list-style-type: none"> • 3: The CPD explicitly describes how women will benefit from programme opportunities and benefits. The CPD has identified and fully addressed any relevant risks related to potential gender inequality and discrimination against women and girls. • 2: The CPD mentions how it intends to consider how women will benefit from programme opportunities and benefits. The CPD has identified and partially addressed any relevant risks related to potential gender inequality and the situation of women and girls. • 1: The CPD does not describe how women will benefit from programme opportunities and benefits. It does not identify or address relevant risks related to potential gender inequality and the situation of women and girls. 	3	2
	1	
	Evidence	

<p>9. Does the programme apply a human rights based approach adequately and evenly across the programme?</p> <ul style="list-style-type: none"> • 3: Strong evidence that the programme actively promotes the fulfilment of human rights and prioritizes the principles of accountability, meaningful participation, and non-discrimination. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed and any relevant appropriate mitigation and management measures incorporated into programme rationale, strategy, and results and resource framework. • 2: Partial evidence that the programme promotes the fulfilment of human rights and the principles of accountability, meaningful participation, and non-discrimination were considered. Potential adverse impacts on enjoyment of human rights were identified and assessed and any relevant appropriate mitigation and management measures incorporated into the programme rationale, strategy, and results and resources framework. • 1: No evidence that opportunities to promote the fulfilment of human rights were considered in the programme, including consideration of the principles of accountability, meaningful participation and non-discrimination. Limited evidence that potential adverse impacts on enjoyment of human rights were considered. 	3	2
	1	
	Evidence	

<p>10. Does the programme consider potential environmental opportunities and adverse impacts, applying a precautionary approach?</p> <ul style="list-style-type: none"> • 3: Strong evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered and integrated in programme strategy and design as relevant. Strong evidence that potential adverse environmental impacts have been considered, and avoided where possible, in the programme design. The risk management approach includes potential environmental risks and how the programme will ensure appropriate assessment is conducted and management measures put in place. • 2: Partial evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered as relevant. Partial evidence that potential adverse environmental impacts have been considered, and avoided where possible, in the programme design. The risk management approach considers potential environmental risks and management measures. • 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts and risks were adequately considered. 	3	2
	1	
	Evidence	

MANAGEMENT & MONITORING

<p>11. Are the programme’s outcomes and indicative outputs at an appropriate level and relate clearly to the theory of change and selected priority areas as described in the narrative?</p> <ul style="list-style-type: none"> • 3: The programme’s proposed outcomes and indicative outputs are at an appropriate level and relate in a clear way to the programme’s theory of change. There is a strong congruence between the CPD rationale, programme priorities and results framework. • 2: The programme’s proposed outcomes and indicative outputs are at an appropriate level and are consistent with the programme’s theory of change. There is general coherence between the CPD narrative and the results framework. • 1: The programme’s selection of outcomes and indicative outputs are not clearly justified in terms of a 	3	2
	1	
	Evidence	

<p>programme theory of change. There is no or limited relationship between the programme’s narrative and selected priority areas and the results framework.</p>							
<p>12. Are the indicators selected to monitor the results of the programme appropriate with fully populated baselines and milestones?</p> <ul style="list-style-type: none"> • 3: Outcomes and indicative outputs are accompanied by SMART, results-oriented indicators that measure the key expected changes identified in the theory of change, each with credible data sources and fully populated baselines, milestones and targets, including appropriate use of gender sensitive, sex-disaggregated and/or target group-focused indicators where appropriate. The RRF includes all relevant IRRF indicators at the outcome and output levels. • 2: Outcomes and indicative outputs are accompanied by SMART, results-oriented indicators with specified data sources. Most baselines and targets populated. Some use of gender sensitive, sex-disaggregated and/or target group focused indicators, but there is scope to improve further. The RRF includes some relevant IRRF indicators. • 1: Indicators not appropriately specified with corresponding baselines and targets. No gender sensitive, sex-disaggregated or target group-focused indicators. No clear inclusion of relevant IRRF indicators in the RRF. 	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							
<p>13. Are the monitoring arrangements adequate?</p> <ul style="list-style-type: none"> • 3: Provides details on data sources to be used for monitoring all programme indicators, including responsibilities for data collection with timing and cost of direct data collection activities specified. Highlights particular issues regarding availability, quality, frequency or reliability of selected data sources, and appropriate plans to address these (e.g., systems strengthening, use of proxies, etc.) Plans are in place for generating appropriate analytics from available data, and ensuring adequate staff capabilities for enhanced M&E. Key risks relating to M&E are included in the programme risk log. • 2: Provides details on data sources identified in the RRF, with a particular focus on sources for which direct data collection is required or for which existing M&E or statistical systems need to be strengthened, with a budget allocated for these activities. Appropriate plans are in place to address major data gaps or weaknesses, with some reference to use of data for analytics and ensuring adequate staff capacities for enhanced M&E. • 1: Does not identify the main data sources to be used in tracking programme results or consider their quality. Does not clearly identify who will participate in generating data or using it for monitoring. 	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							
<p>14. Is there an adequate, realistic and costed evaluation plan?</p> <ul style="list-style-type: none"> • 3: Detailed plans are provided for an appropriate set of strategic evaluations, including final and mid-term evaluations, with timing and relevant partners specified. A realistic estimate of the costs is provided, with expected funding source(s) identified. UNDP contributions towards the cost of evaluation are included in the programme budget. Programme design takes into account evaluation requirements. • 2: An appropriate set of strategic evaluations are listed with timing and relevant partners specified. A realistic cost estimate is provided for each evaluation, even if a funding sources are not provided, and included in the budget. • 1: Insufficient details are provided to judge the suitability of evaluations planned. Some details are missing on the timing, evaluation type, relevant partners, or estimated cost of the evaluations, or stated costs are unrealistic. 	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							
<p>15. Have the key programme risks and opportunities been identified, linked to the assumptions in the theory of change, with clear plans stated to respond?</p> <ul style="list-style-type: none"> • 3: Programme risks and opportunities fully described in the CPD, based on comprehensive analysis which references key assumptions made in the project’s theory of change. Clear and complete plan in place to manage 	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> </table>	3	2	1			
3	2						
1							

<p>and mitigate each risk and take advantage of opportunities.</p> <ul style="list-style-type: none"> • 2: Programme risks and opportunities identified in the CPD. Clear plan in place to manage and mitigate risks. • 1: Some risks identified in CPD, but no or inadequate response measures identified. 	Evidence	
EFFICIENT		
<p>16. Does the programme document include explicit consideration of strategies for scaling up to achieve greater impact?</p> <ul style="list-style-type: none"> • 3: The CPD specifically mentions potential for scaling up to achieve greater impact with available resources⁵. The results framework includes suitable indicators to monitor changes in the scale of benefits achieved over time⁶. • 2: The CPD includes some consideration of current or future opportunities for scaling up to achieve greater <u>impact with available resources</u>. • 1: The CPD does not consider strategies for scaling up in the programme priorities or results framework. 	3	2
	1	
	Evidence	
<p>17. Does the CPD provide a convincing account as to how the expected size and scope of the results can feasibly be delivered with the available resources and resource mobilization opportunities?</p> <ul style="list-style-type: none"> • 3: The size and scope of the programme is very congruent with the indicative resources available for the programme and resource mobilization opportunities emerging from donor intelligence. The CPD outlines a “Plan B” to scale down the expected results if there are challenges raising the required funds. • 2: The size and scope of the programme is consistent with the indicative resources available for the programme and resource mobilization opportunities emerging from donor intelligence. While the CPD does not outline a “Plan B” to scale down the expected results if there are challenges raising the required funds, it is reasonably likely that the country office will have the flexibility to adjust the programme if needed. • 1: The size and scope of the programme is not congruent with the indicative resources available for the programme and/or with the resource mobilization opportunities emerging from donor intelligence. It is not likely that the programme will be able to mobilize the required resources to implement the programme. 	3	2
	1	
	Evidence	
EFFECTIVE		
<p>18. Has the proposed programme adequately used evaluation findings and other outcome-level evidence from other/prior programme performance?</p> <ul style="list-style-type: none"> • 3: Knowledge and lessons learned backed by credible evidence from evaluation, analysis, corporate policies/strategies, and monitoring have been <u>explicitly used, with appropriate referencing</u>, to develop the programme’s theory of change and justify the approach used by the programme over alternatives. • 2: The programme design references knowledge and lessons learned backed by evidence from evaluation, analysis, corporate policies/strategies, and monitoring and/or other sources, but <u>these references have not been explicitly used</u> to develop the programme’s theory of change or justify the approach used by the programme over alternatives. • 1: There is only <u>scant, or no, mention</u> of knowledge and lessons learned informing the programme design. Existing references <u>are not backed by evidence</u>. 	3	2
	1	
	Evidence	
<p>19. Has the programme effectively identified targeted groups/areas and are strategies in place for regular engagement throughout implementation to ensure voice and participation?</p> <ul style="list-style-type: none"> • 3: Target groups/areas are clearly specified and the theory of change explains why these group will be targeted. The programme has a strategy to identify and engage target groups/areas through programme monitoring, governance and/or other means to ensure the programme remains relevant to their needs. • 2: Some target groups/areas are mentioned in the CPD in broad terms. The programme mentions how it will engage targeted groups/areas throughout implementation. 	3	2
	1	
	Evidence	

⁵ i.e., through significant geographic or target group coverage, strategic partnership strategies for upscaling UNDP pilots or innovations, and/or contribution to policy change that can effect results at scale.

⁶ For example, indicators related to policy making processes do not measure just the adoption and implementation of a policy, but also its intended benefits on target groups.

<ul style="list-style-type: none"> • 1: The target groups/areas are not specified in the CPD. The programme does not have a written strategy to identify or engage the target groups/areas throughout implementation. 		
20. Has the CPD integrated adequate analysis and explicit measures to promote and utilize South-South and Triangular Cooperation? <ul style="list-style-type: none"> • 3: South-South and Triangular Cooperation opportunities are fully described in the CPD, based on up-to-date and comprehensive demands assessment and demand-supply matching results. Clear indication of measurable results to be achieved through South-South and Triangular Cooperation in the CPD. • 2: Specific South-South and Triangular Cooperation opportunities are described in the CPD, based on consideration of demand and UNDP comparative advantage. Some indication of measurable results to be achieved through South-South and Triangular Cooperation in the CPD. • 1: CPD may refer to South-South and Triangular Cooperation but does not give specific plans for how it will be used. There is no evidence to support why or why not South-South and Triangular Cooperation has been opted. 	3	2
	1	
	Evidence	
SUSTAINABILITY & NATIONAL OWNERSHIP		
21. Have national partners proactively engaged in the design of the programme? <ul style="list-style-type: none"> • 3: The programme has been developed jointly by UNDP and a range of national partners (government, donors, civil society, beneficiaries, etc.), with credible evidence of this provided in the CPD. • 2: The programme has been developed by UNDP in consultation with national partners (esp. government), with some evidence of this mentioned in the CPD. • 1: The programme has been developed by UNDP with limited or no engagement with national partners. There is little to no mention of engagement with national partners on the programme design in the CPD. 	3	2
	1	
	Evidence	
22. Are key institutions and systems identified, and is there a strategy to ensure the sustainability of results (i.e., to ensure that results last and even grow beyond UNDP's engagement?) <ul style="list-style-type: none"> • 3: The programme has a strategy for strengthening capacities of national institutions integrated throughout the programme, which is reflected in the identification of outcomes, indicative outputs and indicators. • 2: The CPD has identified indicative outputs that will be undertaken to strengthen capacity of national institutions, but these outputs are not part of a comprehensive strategy and it is not clear how capacity and sustainability of results will be measured. • 1: There is mention in the programme document of capacities of national institutions to be strengthened through the programme, but there is no evidence of a specific strategy, measurement or incorporation into the results framework. 	3	2
	1	
	Evidence	
23. Does the programme include a strategy for using nationally-owned data sources and working with partners to strengthen national statistical systems and capacities? <ul style="list-style-type: none"> • 3: The RRF includes some relevant country-specific outcome and output indicators that will be monitored using nationally-owned data sources. The M&E section includes an analysis of the availability and quality of existing national data sources and states clear plans for how UNDP will work with partners to strengthen national M&E and statistical systems where needed, in a way that contributes towards sustainable country capacities. • 2: The RRF includes some relevant country-specific outcome and output indicators that will be monitored using nationally-owned data sources. The M&E section includes some consideration of the quality of relevant national data sources and states plans for how UNDP will work with partners to strengthen these, with some consideration of building sustainable country capacities. • 1: The RRF does not include relevant country-specific outcome or output indicators or does not identify relevant national sources to be used in monitoring. The M&E section may include some plans to develop M&E systems required for programme monitoring, but does not address weaknesses in the broader national statistical system or capacities. 	3	2
	1	
	Evidence	

Formatting Checklist:

CPD narrative + Annex A (RRF) does not exceed 6,000 words	Yes	No
CPD font is Times New Roman, 10pt	Yes	No
Margins have not been altered from the template	Yes	No

Narrative: top 0.81" (2.057cm); bottom 1" (2.54cm); left 0.83" (2.108cm); right 0.83" (2.108cm) RRF: top 1" (2.54cm); bottom 1" (2.54cm); left 0.8" (2.032cm); right 0.8" (2.032cm)		
Four narrative headings adhere to the latest template I. Programme Rationale; II. Programme Priorities and Partnerships; III. Programme and Risk Management; IV. Monitoring and Evaluation	Yes	No
The CPD has no more than 4 outcomes	Yes	No
The outcomes are copied verbatim from the UNDAF/equivalent	Yes	No
Each CPD outcome is linked to only one SP outcome	Yes	No
CPD has adopted relevant strategic plan IRRF indicators, unless justified otherwise	Yes	No

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

OVERALL PROJECT

EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

DECISION

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

RATING CRITERIA

STRATEGIC

1. Does the project’s Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project): <ul style="list-style-type: none"> • 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project’s strategy is the best approach at this point in time. • 2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence. • 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD’s theory of change. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
	1	
	Evidence (pages 2-4 of project document)	
2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project): <ul style="list-style-type: none"> • 3: The project responds to one of the three areas of development work⁷ as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas⁸; an issues-based analysis has been incorporated into the project design; and the project’s RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i> • 2: The project responds to one of the three areas of development work¹ as specified in the Strategic Plan. The project’s RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i> 	3	2
	1	
	Evidence : Project is aligned with UNDP’s third Area of Work on Resilience Building and seems to contribute to the realization of IRRF outcome 5 ‘Countries are able to reduce	

⁷ 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

⁸ sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

<ul style="list-style-type: none"> • 1: While the project may respond to one of the three areas of development work¹ as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan. 	<p>the likelihood of conflict and lower the risk of natural disasters, including from climate change ...'.</p> <p>However, the project document makes incorrect reference to an outdated strategic plan outcome and output statements (on Environment & Sustainable Development), and indicative output statements.</p>	
RELEVANT		
<p>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (<i>all must be true to select this option</i>) • 2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (<i>both must be true to select this option</i>) • 1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project. <p><small>*Note: Management Action must be taken for a score of 1</small></p>	3	2
	1	
	<p><i>Select (all) targeted groups: (drop-down)</i></p> <p>Evidence Refer to project document: page 18 describes the list of stakeholders who will be engaged.</p>	
<p>4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives. • 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives. • 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence. <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p>	3	2
	1	
	<p>Evidence Knowledge and lessons learned from the tailing spillage are described for each project output (rationale subsections, pages 11-17).</p>	
<p>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and 	3	2
	1	
	<p>Evidence The project document (page 31), in describing the project M&E briefly states that particular attention will be given to assessing the</p>	

<p>monitor results contributing to gender equality. <i>(all must be true to select this option)</i></p> <ul style="list-style-type: none"> • 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i> • 1: The project design may or may not mention information and/or data on the differential impact of the project’s development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p>project’s impact on gender. However, this will be conducted during project implementation and as part of M&E. A gender analysis has not been conducted during project formulation. It is recommended that gender analyses are included in specific project activities (e.g. 1.1.1, 1.2.3, 1.3.1, 1.3.2, 1.4.1, 1.4.2, etc) during implementation.</p>	
<p>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project’s intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i> • 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified. • 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners’ interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p>3</p>	<p>2</p>
	<p>1</p> <p>Evidence The role of UNDP in providing ‘project assurance’ is unclear and doubtful given the highly technical and specialized nature of the majority of activities. An activity analyses found that 42 out of 50 activities are likely to require scientific, engineering, social, economic, health, and IT related analyses and assessments. These areas are beyond UNDP’s comparative advantage.</p>	
<p>SOCIAL & ENVIRONMENTAL STANDARDS</p>		
<p>7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. <i>(all must be true to select this option)</i> • 2: Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. • 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered. <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	<p>3</p>	<p>2</p>
	<p>1</p> <p>Evidence Although the project document does not contain specific HRBA terminologies (such as rights holders and duty bearers), the overall project will strengthen the capacities of project beneficiaries (i.e. the rights holders) and capacities of government (i.e. the duty bearers) and result in better risk management. The project strategy could to reflect this statement.</p>	
<p>8. Did the project consider potential environmental opportunities and adverse impacts, applying a</p>	<p>3</p>	<p>2</p>
	<p>1</p>	

<p>precautionary approach? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. <i>(all must be true to select this option)</i>. • 2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget. • 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered. <p>*Note: Management action or strong management justification must be given for a score of 1</p>	<p>Evidence</p> <p>The project document includes a completed Social Environmental Screening template, which did not identify potential risks to any identified categories including Environmental Sustainability.</p>	
<p>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>	<p>Yes</p>	<p>No</p>
<p>SESP Not Required</p>		
<p>MANAGEMENT & MONITORING</p>		
<p>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project’s selection of outputs and activities are at an appropriate level and relate in a clear way to the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. <i>(all must be true to select this option)</i> • 2: The project’s selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. <i>(all must be true to select this option)</i> • 1: The results framework does not meet all of the conditions specified in selection “2” above. This includes: the project’s selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project’s theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p>3</p>	<p>2</p>
<p>1</p>		
<p>Evidence</p> <p>Evidence: The results framework needs to be revised to incorporate correct statements relating to outcomes, outcome indicators, and applicable outputs of the UNDP Strategic Plan.</p> <p>The project document lists 14 outputs and 50 activities. To avoid cumbersome M&E tracking reporting, the number of outputs and activities need to be reduced to a realistic number. E.g. the project could have four main outputs that relate to planning, technical/specialized assessments and modelling, training programmes, and installation/testing/commissioning of technical equipment.</p>		
<p>11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</p>	<p>Yes (3) Evidence</p> <p>The project document</p>	<p>No (1)</p>

	contains a costed M&E plan, on pages 31-32.	
	3	2
12. Is the project’s governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project): <ul style="list-style-type: none"> • 3: The project’s governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (<i>all must be true to select this option</i>). • 2: The project’s governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (<i>all must be true to select this option</i>) • 1: The project’s governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	1	
	Evidence The project document needs to make the following corrections to the composition of Project Board, in accordance with UNDP: Senior Supplier (Country Director, UNDP PaO); Senior Beneficiary (Secretary of key stakeholder ministries – this needs to be articulated in the structure.); and Executive (Secretary of the Implementing Partner – this is not clearly defined in the project document). As well, key roles should also be explained, in accordance with the UNDP Guide on Programme & Project Management Roles. The Project Assurance role is typically held by the UNDP programme officer – the project organization structure needs to reflect this.	
13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project): <ul style="list-style-type: none"> • 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (<i>both must be true to select this option</i>) • 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. • 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document. <p>*Note: Management Action must be taken for a score of 1</p>	1	
	Evidence The project document has a risk log based on an analysis of potential risks such as political, strategic, environmental, operational, and financial (pages 64-66). Practical mitigating measures are provided for each risk.	
EFFICIENT		
14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.	Yes (3)	No (1) Evidence: No clear evidence provided in the project document.
15. Are explicit plans in place to ensure the project links up with other relevant on-going projects	Yes (3) Evidence:	No (1)

<p>and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)</p>	<p>To a certain extent, the project document makes reference to use existing governance mechanism and building on the past and ongoing activities.</p>	
<p>16. Is the budget justified and supported with valid estimates?</p> <ul style="list-style-type: none"> • 3: The project’s budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. • 2: The project’s budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. • 1: The project’s budget is not specified at the activity level, and/or may not be captured in a multi-year budget. 	<p>3</p>	<p>2</p>
<p style="text-align: center;">1</p>		
<p style="text-align: center;">Evidence</p>		
<p>Refer to outcome-level multi-year budget on pages 33-35 of project document.</p>		
<p>17. Is the Country Office fully recovering its costs involved with project implementation?</p> <ul style="list-style-type: none"> • 3: The budget fully covers all direct project costs that are directly attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.) • 2: The budget covers significant direct project costs that are directly attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. • 1: The budget does not reimburse UNDP for direct project costs. UNDP is cross-subsidizing the project and the office should advocate for the inclusion of DPC in any project budget revisions. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p>3</p>	<p>2</p>
<p style="text-align: center;">1</p>		
<p style="text-align: center;">Evidence</p>		
<p>The multi-year work plan (page 35) includes UNDP costs i.e. General Management Support cost.</p>		
<p>EFFECTIVE</p>		
<p>18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. <i>(both must be true to select this option)</i> • 2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments. • 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p>3</p>	<p>2</p>
<p style="text-align: center;">1</p>		
<p style="text-align: center;">Evidence</p>		
<p>The project document makes references to the 2014 HACT macro assessment (page 19) that was undertaken for the Government.</p>		
<p>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</p> <ul style="list-style-type: none"> • 3: Credible evidence that all targeted groups, prioritising marginalized and excluded 	<p>3</p>	<p>2</p>
<p style="text-align: center;">1</p>		
<p style="text-align: center;">Evidence</p>		
<p>Refer to rationale of each project output (pages 11-17).</p>		

<p>populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.</p> <ul style="list-style-type: none"> • <u>2</u>: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions. • <u>1</u>: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project. 		
<p>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</p>	<p>Yes (3) The project document includes a robust M&E plan.</p>	<p>No (1)</p>
<p>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</p> <p><i>*Note: Management Action or strong management justification must be given for a score of “no”</i></p>	<p>Yes (3)</p>	<p>No (1)</p>
<p>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • <u>3</u>: The project has a realistic work plan & budget covering the duration of the project <i>at the activity</i> level to ensure outputs are delivered on time and within the allotted resources. • <u>2</u>: The project has a work plan & budget covering the duration of the project at the output level. • <u>1</u>: The project does not yet have a work plan & budget covering the duration of the project. 	<p>3</p>	<p>2</p>
	<p>1</p>	
	<p>Evidence ATLAS Gender marker is assigned GEN0.</p>	
<p>SUSTAINABILITY & NATIONAL OWNERSHIP</p>		
<p>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • <u>3</u>: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. • <u>2</u>: The project has been developed by UNDP in close consultation with national partners. • <u>1</u>: The project has been developed by UNDP with limited or no engagement with national partners. 	<p>3</p>	<p>2</p>
	<p>1</p>	
	<p>Evidence</p>	
<p>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</p> <ul style="list-style-type: none"> • <u>3</u>: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. • <u>2.5</u>: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. • <u>2</u>: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. • <u>1.5</u>: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. 	<p>3</p>	<p>2.5</p>
	<p>2</p>	<p>1.5</p>
	<p>1</p>	
	<p>Evidence An activity analyses found that 42 out of 50 activities are highly likely to involve assessments - scientific, engineering, social, economic, health, or IT related.</p>	

<ul style="list-style-type: none"> • 1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions. 		
25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?	Yes (3)	No (1) As this project is implemented through DIM, UNDP systems will be used.
26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?	Yes (3)	No (1)

PROJECT QA ASSESSMENT: IMPLEMENTATION

OVERALL PROJECT

EXEMPLARY ●●●●●●	HIGH ●●●●○	SATISFACTORY ●●●○○	NEEDS IMPROVEMENT ●●○○○	INADEQUATE ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

DECISION

- **CONTINUE AS PLANNED** – the project is of sufficient quality to continue as planned. All management actions must be addressed in a timely manner.
- **TAKE REMEDIAL ACTION** – the project has issues that must be addressed or the project may be suspended. If the Social and Environmental Standards criterion is below satisfactory, the project may be suspended if the deficiencies are not addressed. All management actions must be addressed in a timely manner.
- **TAKE URGENT ACTION** – the project has significant issues that require urgent management attention, or the project may be cancelled. If the Social and Environmental Standards criterion is Inadequate, the project may be cancelled.

RATING CRITERIA

STRATEGIC

1. Is the project pro-actively taking advantage of new opportunities, adapting its theory of change to respond to changes in the development context, including changing national priorities? (select the option from 1-3 that best reflects this project): <ul style="list-style-type: none"> • 3: The project team completed and documented a horizon scanning exercise in the past year to identify new opportunities and changes in the development context that require adjustments in the theory of change. There is clear evidence that the project board has considered the implications, and documented changes to the project's theory of change, RRF, partnerships, etc. made in response, as appropriate. (<i>both must be true to select this option</i>) • 2: The project team has undertaken some horizon scanning in the past year to identify new opportunities and changes in the development context. The project board discussed the scanning and its implications for the project, as reflected in the board minutes. There is some evidence that the project took action as a result, but changes may not have been fully integrated in the project's theory of change, RRF, partnerships, etc. • 1: The project team may have considered new opportunities and changes in the development context since implementation began, but this has not been discussed in the project board. There is limited to no evidence that the project team has considered changes to the project as a result. This option would also be selected if no horizon scanning has been done to date during project implementation. 	3	2
	1	
	Evidence	
2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project): <ul style="list-style-type: none"> • 3: The project responds to one of the three areas of development work⁹ as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas¹⁰; implementation is consistent with the issues-based analysis incorporated into the project design; and the project's RRF includes at all the relevant SP output indicators. (<i>all must be true to select this option</i>) 	3	2
	1	
	Evidence	

⁹ 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

¹⁰ sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

<ul style="list-style-type: none"> • 2: The project responds to one of the three areas of development work¹ as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i> • 1: While the project may respond to one of the three areas of development work¹ as specified in the Strategic Plan, it is based on a sectorial approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This option is also selected if the project does not respond to any of the three SP areas of development work. <p>*Note: Management Action must be taken for score of 1.</p>							
<p>3. Evidence generated through the project has been explicitly used to confirm or adjust the programme/CPD's theory of change.</p>	<table border="1"> <tr> <td data-bbox="1307 411 1377 499">Yes (3)</td> <td data-bbox="1377 411 1430 499">No (1)</td> </tr> </table>	Yes (3)	No (1)				
Yes (3)	No (1)						
RELEVANT							
<p>4. Are the project's targeted groups being systematically engaged, with a priority focus on the excluded and marginalized, to ensure the project remains relevant for them? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: Systematic and structured feedback has been collected over the past year from a representative sample of beneficiaries, with a priority focus on the excluded and marginalized, as part of the project's monitoring system. Representatives from the targeted groups are active members of the project's governance mechanism (i.e., the project board or equivalent) and there is credible evidence that their feedback informs project decision making. <i>(all must be true to select this option)</i> • 2: Targeted groups have been engaged in implementation and monitoring, with a priority focus on the excluded and marginalized. Beneficiary feedback, which may be anecdotal, has been collected over the past year to ensure the project is addressing local priorities. This information has been used to inform project decision making. <i>(all must be true to select this option)</i> • 1: Some beneficiary feedback may have been collected over the past year, but this information has not been used to inform project decision making. This option is also selected if no beneficiary feedback has been collected. <p>*Note: Management Action must be taken for a score of 1</p>	<table border="1"> <tr> <td data-bbox="1307 562 1377 594">3</td> <td data-bbox="1377 562 1430 594">2</td> </tr> <tr> <td colspan="2" data-bbox="1307 594 1430 625" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" data-bbox="1307 625 1430 1056" style="text-align: center;">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							
<p>5. Is the project generating knowledge – particularly lessons learned (i.e., what has worked and what has not) – and has this knowledge informed management decisions and changes/course corrections to ensure the continued relevance of the project towards its stated objectives, the quality of its outputs and the management of risk? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: Knowledge and lessons learned backed (gained, for example, from Peer Assists, After Action Reviews or Lessons Learned Workshops) by credible evidence from evaluation, corporate policies/strategies, analysis and monitoring have been discussed in project board meetings and reflected in the minutes. There is clear evidence that the project's theory of change has been adjusted, as needed, and changes were made to the project to ensure its continued relevance. <i>(both must be true to select this option)</i> • 2: Knowledge and lessons learned backed by relatively limited evidence, drawn mainly from within the project, have been considered by the project team. There is some evidence that changes were made to the project as a result to ensure its continued relevance. <i>(both must be true to select this option)</i> • 1: There is limited or no evidence that knowledge and lessons learned have been collected by the project team. There is little or no evidence that this has informed project decision making. <p>*Note: Management Action must be taken for a score of 1</p>	<table border="1"> <tr> <td data-bbox="1307 1056 1377 1087">3</td> <td data-bbox="1377 1056 1430 1087">2</td> </tr> <tr> <td colspan="2" data-bbox="1307 1087 1430 1119" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" data-bbox="1307 1119 1430 1528" style="text-align: center;">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							
<p>6. Are the project's measures (through outputs, activities, indicators) to address gender inequalities and empower women relevant and producing the intended effect? If not, evidence-based adjustments and changes have been made. (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: The project team has systematically gathered data and evidence through project monitoring on the relevance of the measures to address gender inequalities and empowering women. Analysis of data and evidence were used to inform adjustments and changes, as appropriate. <i>(both must be true to select this option)</i> • 2: The project team has some data and evidence on the relevance of the measures to address gender inequalities and empowering women. There is evidence that at least some adjustments were made, as appropriate. <i>(both must be true to select this option)</i> • 1: The project team has limited or no evidence on the relevance of measures to address gender inequalities and empowering women. No evidence of adjustments and/or changes being made. This option should also be 	<table border="1"> <tr> <td data-bbox="1307 1528 1377 1560">3</td> <td data-bbox="1377 1528 1430 1560">2</td> </tr> <tr> <td colspan="2" data-bbox="1307 1560 1430 1591" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" data-bbox="1307 1591 1430 1900" style="text-align: center;">Evidence</td> </tr> </table>	3	2	1		Evidence	
3	2						
1							
Evidence							

selected if the project has no measures to address gender inequalities and empowering women relevant to the project results and activities. *Note: Management Action must be taken for a score of 1		
7. Is the project sufficiently at scale, or is there potential to scale up in the future, to meaningfully contribute to development change? (select the option from 1-3 that best reflects the project): <ul style="list-style-type: none"> • 3: There is credible evidence that the project is reaching a sufficient number of beneficiaries (either directly through significant coverage of target groups, or indirectly, through policy change) to meaningfully contribute to development change. • 2: While the project is currently not at scale, there are explicit plans in place to scale up the project in the future (e.g. by extending its coverage or using project results to advocate for policy change). • 1: The project is not at scale, and there are no plans currently to scale up the project in the future. 	3	2
	1	
	Evidence	
SOCIAL & ENVIRONMENTAL STANDARDS		
8. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project): <ul style="list-style-type: none"> • 3: Credible evidence that the project furthers the realization of human rights, on the basis on applying a human rights based approach. Any potential adverse impacts on enjoyment of human rights are actively identified, managed and mitigated through the project’s management of risks. (<i>all must be true to select this option</i>) • 2: Some evidence that the project furthers the realization of human rights. Potential adverse impacts on the enjoyment of human rights have been identified, and are adequately mitigated through the project’s management of risks. • 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights are managed. *Note: Management action or strong management justification must be given for a score of 1	3	2
	1	
	Evidence	
9. Are social and environmental impacts and risks (including those related to human rights, gender and environment) being successfully managed and monitored in accordance with project document and relevant action plans? (for projects that have no social or environmental risks the answer is “Yes”)	Yes (3)	No (1)
10. Are unanticipated social and environmental issues or grievances that arise during implementation assessed and adequately managed, with relevant management plans updated? (for projects that have not experienced unanticipated social and environmental risks or grievances the answer is “Yes”)	Yes (3)	No (1)
MANAGEMENT & MONITORING		
11. Is the project’s M&E Plan being adequately implemented? (select the option from 1-3 that best reflects the project): <ul style="list-style-type: none"> • 3: The project has a comprehensive and costed M&E plan. Baselines, targets and milestones are fully populated. Progress data against indicators in the project’s RRF is being reported regularly using credible data sources and collected according to the frequency stated in the Plan, including sex disaggregated data as relevant. Any evaluations conducted, if relevant, fully meet decentralized evaluation standards, including gender UNEG standards. Lessons learned, including during evaluations and/or After Action Reviews, are used to take corrective actions when necessary. (<i>all must be true to select this option</i>) • 2: The project has a costed M&E Plan, and most baselines and targets are populated. Progress data against indicators in the project’s RRF is collected on a regular basis, although there may be some slippage in following the frequency stated in the Plan and data sources are not always reliable. Any evaluations conducted, if relevant, meet most decentralized evaluation standards. Lessons learned have been captured but may not have been used to take corrective actions yet. (<i>all must be true to select this option</i>) • 1: The project has an M&E Plan, but costs are not clearly planned and budgeted for, or are unrealistic. Progress data is not being regularly collected against the indicators in the project’s RRF. Evaluations may not meet decentralized evaluation standards. Lessons learned are rarely captured and used. Select this option also if the project does not have an M&E plan. *Note: Management Action must be taken for a score of 1	3	2
	1	
	Evidence	
12. Is project’s governance mechanism (i.e., the project board or equivalent) functioning as intended? (select the	3	2
1		

<p>option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: The project’s governance mechanism is operating well, and is a model for other projects. It has met in the agreed frequency stated in the project document and the minutes of the meetings are on file. There is regular (at least annual) progress reporting to the project board or equivalent on results, risks and opportunities. It is clear that the project board explicitly reviews and uses evidence, including progress data, knowledge, lessons and evaluations, as the basis for informing management decisions (e.g., change in strategy, approach, work plan.) <i>(all must be true to select this option)</i> • 2: The project’s governance mechanism has met in the agreed frequency and the minutes of the meeting are on file. A project progress report has been submitted to the project board or equivalent at least once in the past year, covering results, risks and opportunities. <i>(both must be true to select this option)</i> • 1: The project’s governance mechanism has not met in the frequency stated in the project document over the past year and/or the project board or equivalent is not functioning as a decision making body for the project as intended. <p>*Note: Management Action must be taken for a score of 1</p>	Evidence	
<p>13. Are risks to the project adequately monitored and managed? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: The project has actively monitored risks every quarter including consulting with key stakeholders at least once in the past year to identify continuing and emerging risks to project implementation and to assess if the main assumptions remain valid. There is clear evidence that relevant management plans and mitigating measures are being fully implemented to address each key project risk, and have been updated to reflect the latest risk assessment. <i>(all must be true to select this option)</i> • 2: The project has monitored risks every quarter, as evidenced by an updated risk log. Some updates have been made to management plans and mitigation measures. • 1: The risk log has not been updated every quarter as required. There may be some evidence that the project has monitored risks that may affect the project’s achievement of results, but there is no explicit evidence that management actions have been taken to mitigate risks. <p>*Note: Management Action must be taken for a score of 1</p>	3	2
EFFICIENT	1	
	Evidence	
<p>14. Adequate resources have been mobilized to achieve intended results. If not, management decisions were taken to adjust expected results in the project’s results framework.</p>	Yes (3)	No (1)
<p>15. Are project inputs procured and delivered on time to efficiently contribute to results? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: The project has an updated procurement plan. Implementation of the plan is on or ahead of schedule. The project quarterly reviews operational bottlenecks to procuring inputs in a timely manner and addresses them through appropriate management actions. <i>(all must be true to select this option)</i> • 2: The project has an updated procurement plan. The project annually reviews operational bottlenecks to procuring inputs in a timely manner and addresses them through appropriate management actions. <i>(all must be true to select this option)</i> • 1: The project does not have an updated procurement plan. The project may or may not have reviewed operational bottlenecks to procuring inputs in a timely manner, however management actions have not been taken to address them. <p>*Note: Management Action must be taken for a score of 1</p>	3	2
	1	
<p>16. Is there regular monitoring and recording of cost efficiencies taking into account the expected quality of results? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: There is evidence that the project regularly reviews costs against relevant comparators (e.g., other projects or country offices) or industry benchmarks to ensure the project maximizes results that can be delivered with given resources. The project actively coordinates with other relevant ongoing projects and initiatives (UNDP or other) to ensure complementarity and seek efficiencies wherever possible (e.g. joint activities.) <i>(both must be true to select this option)</i> • 2: The project monitors its own costs and gives anecdotal examples of cost efficiencies (e.g., spending less to get the same result,) but there is no systematic analysis of costs and no link to the expected quality of results delivered. The project coordinates activities with other projects to achieve cost efficiency gains. 	3	2
	1	
	Evidence	

<ul style="list-style-type: none"> • 1: There is little or no evidence that the project monitors its own costs and is considering ways to save money beyond following standard procurement rules. 		
EFFECTIVE		
17. Is the project is <u>on track</u> to deliver its expected outputs?	Yes (3)	No (1)
18. Have there been regular reviews of the work plan to ensure that the project is on track to achieve the desired results, and to inform course corrections if needed? (select the option from 1-3 that best reflects the project): <ul style="list-style-type: none"> • 3: Quarterly progress data has informed regular reviews of the project work plan to ensure that the activities implemented are most likely to achieve the desired results. There is evidence that data and lessons learned (including from evaluations and/or After Action Reviews) have been used to inform course corrections, as needed. Any necessary budget revisions have been made. <i>(both must be true to select this option)</i> • 2: There has been at least one review of the work plan during the year to assess if project activities are on track to achieving the desired development results (i.e., outputs.) There may or may not be evidence that data or lessons learned has been used to inform the review(s). Any necessary budget revisions have been made. • 1: While the project team may have reviewed the work plan at least once over the past year to ensure outputs are delivered on time, no link has been made to the delivery of desired development results. Select this option also if no review of the work plan by management has taken place over the past year. <p><i>*Note: Management Action must be taken for a score of 1</i></p>	3	2
1		
Evidence		
19. Are targeted groups being systematically identified and engaged, prioritizing the marginalized and excluded, to ensure results are achieved as expected? (select the option from 1-3 that best reflects the project): <ul style="list-style-type: none"> • 3: The project is targeting specific groups and/or geographic areas, identified by using credible data sources on their capacity needs, deprivation and/or exclusion from development opportunities relevant to the project's area of work. There is clear evidence that the targeted groups are being reached as intended. The project has engaged regularly with targeted groups over the past year to assess whether they are benefiting as expected and adjustments were made if necessary to refine targeting. <i>(all must be true to select this option)</i> • 2: The project is targeting specific groups and/or geographic areas, based on some evidence of their capacity needs, deprivation and/or exclusion from development opportunities relevant to the project's area of work. Some evidence is provided to confirm that project beneficiaries are members of the targeted groups. There has been some engagement with beneficiaries in the past year to assess whether they are benefiting as expected. <i>(all must be true to select this option)</i> • 1: The project does not report on specific targeted groups. There is no evidence to confirm that project beneficiaries are populations have capacity needs or are deprived and/or excluded from development opportunities relevant to the project area of work. There may have been some engagement with beneficiaries to assess whether they are benefiting as expected, but it has been limited or has not occurred in the past year. 	3	2
1		
Evidence		
20. Are at least 40 per cent of the personnel hired by the project, regardless of contract type, female?	Yes (3)	No (1)
SUSTAINABILITY & NATIONAL OWNERSHIP		
21. Are stakeholders and national partners fully engaged in the decision-making, implementation and monitoring of the project? (select the option from 1-3 that best reflects the project): <ul style="list-style-type: none"> • 3: Only national systems (i.e., procurement, monitoring, evaluation, etc.) are used to fully implement and monitor the project. All relevant stakeholders and partners are fully and actively engaged in the process, playing a lead role in project decision-making, implementation and monitoring. <i>(both must be true to select this option)</i> • 2: National systems (i.e., procurement, monitoring, evaluation, etc.) are used in combination with other support (such as country office support or project systems) to implement and monitor the project, as necessary. All relevant stakeholders and partners are fully and actively engaged in the process, playing an active role in project decision-making, implementation and monitoring. <i>(both must be true to select this option)</i> • 1: There is relatively limited or no engagement with national stakeholders and partners in the decision-making, implementation and/or monitoring of the project. <p><i>*Note: Management Action must be taken for a score of 1</i></p>	3	2
1		
Evidence		

<p>22. There is regular monitoring of changes in capacities and performance of national institutions and systems relevant to the project. The implementation arrangements¹¹ have been adjusted according to changes in partner capacities. (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> ● 3: In the past year, changes in capacities and performance of national institutions and systems have been comprehensively assessed/monitored using clear indicators, rigorous methods of data collection and credible data sources including HACT assurance activities. Implementation arrangements have been formally reviewed and adjusted, if needed, in agreement with partners according to changes in partner capacities. <i>(both must be true to select this option)</i> ● 2: In the past year, aspects of changes in capacities and performance of relevant national institutions and systems have been monitored by the project using indicators and reasonably credible data sources including HACT assurance activities. Some adjustment has been made to implementation arrangements if needed to reflect changes in partner capacities. <i>(both must be true to select this option)</i> ● 1: Some aspects of changes in capacities and performance of relevant national institutions and systems may have been monitored by the project, however changes to implementation arrangements have not been considered. Also select this option if changes in capacities and performance of relevant national institutions and systems have not been monitored by the project. <p>*Note: Management Action must be taken for a score of 1</p>	3	2
	1	
	Evidence	
<p>23. The transition and phase-out arrangements are reviewed regularly and adjusted according to progress (including financial commitments and capacity). (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> ● 3: The project’s governance mechanism has reviewed the project’s sustainability plan in the past year, including arrangements for transition and phase-out, to ensure the project is on track in meeting the requirements set out by the plan. The plan has been adjusted according to progress as needed. <i>(both must be true to select this option)</i> ● 2: There has been a review of the project’s sustainability plan, including arrangements for transition and phase-out, to ensure the project is on track in meeting the requirements set out by the plan. ● 1: The project may have a sustainability plan, but there has not been a review of this strategy since it was developed. Also select this option if the project does not have a sustainability strategy. <p>*Note: Management Action must be taken for a score of 1</p>	3	2
	1	
	Evidence	

¹¹ Responsible Parties, Direct Country Office Support (DCOS), MOUs/LOAs

PROJECT QA ASSESSMENT: CLOSURE

OVERALL PROJECT					
EXEMPLARY ●●●●●	HIGH ●●●●○	SATISFACTORY ●●●●○	NEEDS IMPROVEMENT ●●○○○	INADEQUATE ●○○○○	
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.	
RATING CRITERIA					
STRATEGIC					
1. Did the project pro-actively take advantage of new opportunities and adapt its theory of change to respond to changes in the development context, including changing national priorities? (select the option from 1-3 which best reflects this project): <ul style="list-style-type: none"> 3: The project team regularly completed and documented a comprehensive horizon scanning exercise to identify new opportunities and changes in the development context that required adjustments in the theory of change. There is clear evidence that the project board considered the scanning and its implications, and documented changes to the project's RRF, partnerships, etc. made in response, as appropriate. <i>(both must be true to select this option)</i> 2: The project team has undertaken some horizon scanning over the life of the project to identify new opportunities and changes in the development context. The project board discussed the scanning and its implications for the project, as reflected in the board minutes. There is some evidence that the project took action as a result, but changes may not have been fully integrated in the project's theory of change, RRF, partnerships, etc. <i>(all must be true to select this option)</i> 1: The project team may have considered new opportunities and changes in the development context since implementation began, but this has not been discussed in the project board. There is limited to no evidence that the project team has considered changes to the project as a result. This option should also be selected if no horizon scanning took place during project implementation. 	3	2			
			1		
			Evidence		
2. Was the project aligned with the thematic focus of the Strategic Plan? (select the option from 1-3 that best reflects the project): <ul style="list-style-type: none"> 3: The project responded to one of the three areas of development work¹² as specified in the Strategic Plan. It addressed at least one of the proposed new and emerging areas¹³ and implementation was consistent with the issues-based analysis incorporated into the project. The project's RRF included all the relevant SP output indicators. <i>(all must be true to select this option)</i> 2: The project responded to one of the three areas of development work¹ as specified in the Strategic Plan. The project's RRF included at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i> 1: While the project may have responded to one of the three areas of development work¹ as specified in the Strategic Plan, it was based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators were included in the project's RRF. This option is also selected if the project did not respond to any of the three SP areas of development work. 	3	2			
			1		
			Evidence		
3. Evidence generated through the project was explicitly used to confirm or adjust the programme/CPD's theory of change during implementation.	Yes (3)	No (1)			
RELEVANT					
4. Were the project's targeted groups systematically identified and engaged, with a priority focus on the					

¹² 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

¹³ Sustainable production technologies, access to modern energy services and energy efficiency, natural resource management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience.

<p>excluded and marginalized, to ensure the project remained relevant for them? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> ● 3: Systematic and structured feedback was collected regularly from a representative sample of beneficiaries, with a priority focus on the excluded and marginalized, as part of the project’s monitoring system. Representatives from the targeted group were active members of the project’s governance mechanism (i.e., project board or equivalent) and there is credible evidence that their feedback informed decision making. <i>(all must be true to select this option)</i> ● 2: Targeted groups were engaged in implementation and monitoring, with a priority focus on the excluded and marginalized. Beneficiary feedback, which may be anecdotal, was collected regularly to ensure the project addressed local priorities. This information was used to inform project decision making. <i>(all must be true to select this option)</i> ● 1: Some beneficiary feedback may have been collected, but this information did not inform project decision making. This option should also be selected if no beneficiary feedback was collected. 		
<p>5. Did the project generate knowledge, particularly lessons learned (i.e., what has worked and what has not) – and has this knowledge informed management decisions and changes/course corrections to ensure the continued relevance of the project towards its stated objectives, the quality of its outputs and the management of risk? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> ● 3: Knowledge and lessons learned (gained, for example, from Peer Assists, After Action Reviews or Lessons Learned Workshops) backed by credible evidence from evaluation, analysis and monitoring were regularly discussed in project board meetings and reflected in the minutes. There is clear evidence that the project’s theory of change was adjusted, as needed, and changes were made to the project to ensure its continued relevance. <i>(both must be true to select this option)</i> ● 2: Knowledge and lessons learned backed by relatively limited evidence, drawn mainly from within the project, were considered by the project team. There is some evidence that changes were made to the project as a result to ensure its continued relevance. <i>(both must be true to select this option)</i> ● 1: There is limited or no evidence that knowledge and lessons learned were collected by the project team. There is little or no evidence that this informed project decision making. 	3 2	1
<p>6. Were the project’s special measures (through outputs, activities, indicators) to address gender inequalities and empower women relevant and produce the intended effect? If not, were evidence-based adjustments and changes made? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> ● 3: The project team systematically gathered data and evidence on the relevance of the special measures in addressing gender inequalities and empowering women. Analysis of data and evidence were used to inform adjustments and changes, as appropriate. <i>(both must be true to select this option)</i> ● 2: The project team had some data and evidence on the relevance of the special measures in addressing gender inequalities and empowering women. There is evidence that at least some adjustments made, as appropriate. <i>(both must be true to select this option)</i> ● 1: The project team had limited or no evidence on the relevance of the special measures in addressing gender inequalities and empowering women. No evidence that adjustments and/or changes were made, as appropriate. This option should also be selected if the project had no special measures in addressing gender inequalities and empowering women relevant to project results and activities. 	3 2	1
<p>7. Was the project sufficiently at scale, or is there potential to scale up in the future, to meaningfully contribute to development change? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> ● 3: There is credible evidence that the project reached a sufficient number of beneficiaries (either directly through significant coverage of target groups, or indirectly, through policy change) to meaningfully contribute to development change. ● 2: While the project was not considered at scale, there are explicit plans in place to scale up the initiative in the future (e.g. by extending its coverage in a second phase or using project results to advocate for policy change). ● 1: The project was not at scale, and there are no plans currently to scale up the initiative in the future. 	3 2	1
SOCIAL & ENVIRONMENTAL STANDARDS		
<p>8. Did the project seek to further the realization of human rights using a human rights-based approach? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> ● 3: There is credible evidence that the project aimed to further the realization of human rights, on the basis of applying a human rights based approach. Any potential adverse impacts on enjoyment of human rights were actively identified, managed and mitigated through the project’s management of risks. <i>(all must be true to select this option)</i> ● 2: There is some evidence that the project aimed to further the realization of human rights. Potential adverse 	3 2	1

impacts on the enjoyment of human rights were identified and adequately mitigated through the project's management of risks. <i>(both must be true to select this option)</i>		
<ul style="list-style-type: none"> • 1: There is no evidence that the project aimed to further the realization of human rights. There is limited to no evidence that potential adverse impacts on the enjoyment of human rights were managed. 		
9. Were social and environmental impacts and risks (including those related to human rights, gender and environment) successfully managed and monitored in accordance with the project document and relevant action plans? (for projects that have no social and environmental risks the answer is "Yes")	Yes (3)	No (1)
10. Were any unanticipated social and environmental issues or grievances that arose during implementation assessed and adequately managed, with relevant management plans updated? (for projects that did not experience unanticipated social and environmental risks or grievances the answer is "Yes")	Yes (3)	No (1)
MANAGEMENT & MONITORING		
11. Was the project's M&E Plan adequately implemented? (select the option from 1-3 that best reflects the project):	3	2
	1	
	Evidence	
<ul style="list-style-type: none"> • 3: Progress data against indicators in the project's RRF was reported regularly using highly credible data sources and collected according to the frequency stated in the project's M&E plan, including sex disaggregated data as relevant. Evaluations, if conducted, fully met decentralized evaluation standards, including gender UNEG standards, and management responses were fully implemented. Lessons learned, including during evaluations, were used to take corrective actions when necessary. <i>(all must be true to select this option)</i> • 2: Progress data against indicators in the project's RRF was collected on a regular basis, although there may have been some slippage in following the frequency stated in the project's M&E plan and data sources were not always reliable. Any evaluations conducted meet most decentralized evaluation standards; management responses were fully implemented to the extent possible. Lessons learned have been captured but not used to take collective actions. <i>(all must be true to select this option)</i> • 1: Progress data either was not collected against the indicators in the project's RRF, or limited data was collected but not regularly; evaluations did not meet decentralized evaluation standards; and/or lessons learned were rarely captured and used. 		
12. Did the project's governance mechanism (i.e., the project board or equivalent) function as intended? (select the option from 1-3 that best reflects the project):	3	2
	1	
	Evidence	
<ul style="list-style-type: none"> • 3: The project's governance mechanism operated very well, and is a model for other projects. It met in the agreed frequency stated in the project document and the minutes of the meetings are all on file. There was regular (at least annual) progress reporting to the project board or equivalent on results, risks and opportunities. It is clear that the project board explicitly reviewed and used evidence, including progress data, knowledge, lessons and evaluations, as the basis for informing management decisions (e.g., change in strategy, approach, work plan.) <i>(all must be true to select this option)</i> • 2: The project's governance mechanism met in the agreed frequency and minutes of the meeting are on file. A project progress report was submitted to the project board or equivalent at least once per year, covering results, risks and opportunities. <i>(both must be true to select this option)</i> • 1: The project's governance mechanism did not meet in the frequency stated in the project document, and/or the project board or equivalent did not function as a decision making body for the project as intended. 		
13. Were risks to the project adequately monitored and managed? (select the option from 1-3 that best reflects the project):	3	2
	1	
	Evidence	
<ul style="list-style-type: none"> • 3: The project actively monitored risks every quarter including consulting with key stakeholders at least annually to identify continuing and emerging risks to project implementation and to assess if the main assumptions remain valid. There is clear evidence that relevant management plans and mitigating measures were fully implemented to address each key project risk, and some evidence that risk mitigation has benefitted performance. <i>(all must be true to select this option)</i> • 2: The project monitored risks every quarter, as evidenced by a regularly updated risk log. Some updates were made to management plans and mitigation measures. <i>(both must be true to select this option)</i> • 1: The risk log was not updated every quarter as required. There may be some evidence that the project monitored risks that could have affected the project's achievement of results, but there is no explicit evidence that management actions were taken to mitigate risks. The project's performance was disrupted by factors that could have been anticipated or managed. 		
EFFICIENT		
14. Adequate resources were mobilized to achieve intended results. If not, management decisions were taken to adjust expected results in the project's results framework.	Yes (3)	No (1)

<p>15. Were project inputs procured and delivered on time to efficiently contribute to results? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: The project had a procurement plan and kept it updated. Implementation of the plan was generally on or ahead of schedule. On a quarterly basis, the project reviewed operational bottlenecks to procuring inputs in a timely manner and addressed them through appropriate management actions. <i>(all must be true to select this option)</i> • 2: The project had a procurement plan and kept it updated. The project annually reviewed operational bottlenecks to procuring inputs in a timely manner and addressed them through appropriate management actions. <i>(all must be true to select this option)</i> • 1: The project did not have an updated procurement plan. The project team may have reviewed operational bottlenecks to procuring inputs regularly, however management actions were not taken to address them. This option is also selected if operational bottlenecks were not reviewed during the project in a timely manner. 	3	2
	1	
	Evidence	
<p>16. Was there regular monitoring and recording of cost efficiencies, taking into account the expected quality of results? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: There is evidence that the project regularly reviewed costs against relevant comparators (e.g., other projects or country offices) or industry benchmarks to ensure the project maximized results delivered with given resources. The project actively coordinated with other relevant ongoing projects and initiatives (UNDP or other) to ensure complementarity and sought efficiencies wherever possible (e.g. joint activities.) <i>(both must be true to select this option)</i> • 2: The project monitored its own costs and gave anecdotal examples of cost efficiencies (e.g., spending less to get the same result,) but there was no systematic analysis of costs and no link to the expected quality of results delivered. The project communicated with a few other projects to coordinate activities. <i>(both must be true to select this option)</i> • 1: There is little or no evidence that the project monitored its own costs and considered ways to save money beyond following standard procurement rules. It is not clear that the link between cost savings and quality of results was made. 	3	2
	1	
	Evidence	
EFFECTIVE		
17. Is there evidence that project outputs contributed to the achievement of programme outcomes?	Yes (3)	No (1)
18. The project delivered its expected outputs.	Yes (3)	No (1)
<p>19. Were there regular reviews of the work plan to ensure that the project was on track to achieve the desired results, and to inform course corrections if needed? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: Quarterly progress data informed regular reviews of the project work plan to ensure that the activities implemented were most likely to achieve the desired results. There is evidence that data and lessons learned (including from evaluations) were used to inform course corrections, as needed. <i>(both must be true to select this option)</i> • 2: There was at least one review of the work plan each year with a view to assessing if project activities were on track to achieving the desired development results (i.e., outputs.) There is no evidence that data or lessons learned were used to inform the review(s). • 1: While the project team may have reviewed the work plan at least once per year to ensure outputs were delivered on time, no link was made to the delivery of desired development results. Select this option also if no regular review of the work plan by management took place. 	3	2
	1	
	Evidence	
<p>20. Were the intended targeted groups systematically identified and engaged, prioritizing the marginalized and excluded, to ensure results were achieved as expected? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: Targeted groups were systematically identified using credible data sources on their capacity needs, deprivation and/or exclusion from development opportunities relevant to the project's area of work. There is clear evidence to confirm that targeted groups were reached as intended. The project engaged regularly with targeted groups to assess whether they benefitted as expected and adjustments were made if necessary to refine targeting. <i>(all must be true to select this option)</i> • 2: The project targeted specific groups and/or geographic areas, based on some evidence of their capacity needs, deprivation and/or exclusion from development opportunities relevant to the project's area of work. Some evidence is provided to confirm that project beneficiaries were members of the targeted groups. There was some engagement with beneficiaries to assess whether they benefitted as expected. <i>(all must be true to select this option)</i> • 1: The project did not report on specific targeted groups, or there is no evidence to confirm that project beneficiaries have capacity needs or are populations deprived and/or excluded from development opportunities relevant to the project's area of work. There may have been some engagement with beneficiaries to assess whether they benefitted as expected, but not regularly. 	3	2
	1	
	Evidence	

21. Were at least 40 per cent of the personnel hired by the project, regardless of contract type, female?	Yes (3)	No (1)
SUSTAINABILITY & NATIONAL OWNERSHIP		
<p>22. Were stakeholders and partners fully engaged in the decision-making, implementation and monitoring of the project? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> ● 3: Only national systems (i.e., procurement, monitoring, evaluation, etc.) were to fully implement and monitor the project. All relevant stakeholders and partners were fully and actively engaged in the process, playing a lead role in project decision-making, implementation and monitoring. <i>(all must be true to select this option)</i> ● 2: National systems (i.e., procurement, monitoring, evaluation, etc.) were used in combination with other support (such as country office support or project systems) to implement and monitor the project, as needed. All relevant stakeholders and partners were actively engaged in the process, playing an active role in project decision-making, implementation and monitoring. <i>(both must be true to select this option)</i> ● 1: There was relatively limited or no engagement with national stakeholders and partners in the decision-making, implementation and/or monitoring of the project. 	3	2
	1	
	Evidence	
<p>23. Were there regular monitoring of changes in capacities and performance of institutions and systems, and were the implementation arrangements¹⁴ adjusted according to changes in partner capacities? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> ● 3: Changes in capacities and performance of national institutions and systems were regularly and comprehensively assessed/monitored using clear indicators, rigorous methods of data collection and credible data sources. There is clear evidence that capacities and performance of national institutions and systems improved by the end of the project, if applicable. Implementation arrangements were formally reviewed and adjusted, if needed, in agreement with partners according to changes in partner capacities. <i>(all must be true to select this option)</i> ● 2: Aspects of changes in capacities and performance of relevant national institutions and systems were monitored by the project using indicators and reasonably credible data sources. There is limited evidence that capacities and performance of national institutions and systems improved by the end of the project, if applicable. Some adjustment was made to implementation arrangements if needed to reflect changes in partner capacities. <i>(all must be true to select this option)</i> ● 1: Some aspects of changes in capacities and performance of relevant national institutions and systems may have been monitored by the project, however changes to implementation arrangements were not considered. Also select this option if changes in capacities and performance of relevant national institutions and systems were not monitored by the project. 	3	2
	1	
	Evidence	
<p>24. Were the transition and phase-out arrangements implemented as planned by the end of the project, taking into account any adjustments made to the plan during implementation? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> ● 3: The project's governance mechanism regularly reviewed the project's sustainability plan, including arrangements for transition and phase-out, to ensure the project remained on track in meeting the requirements set out by the plan. The plan was implemented as planned by the end of the project, taking into account any adjustments made during implementation. <i>(both must be true to select this option)</i> ● 2: There was a review of the project's sustainability plan, including arrangements for transition and phase-out, to ensure the project remained on track in meeting the requirements set out by the plan. The plan was implemented by the end of the project, taking into account any adjustments made during implementation. <i>(both must be true to select this option)</i> ● 1: The project may have had a sustainability plan that specified arrangements for transition and phase-out, but there was no review of this strategy after it was developed. Also select this option if the project did not have a sustainability strategy. 	3	2
	1	
	Evidence	
25. Please upload the final lessons learned report (see template here) that was produced for this project.	Upload	

ii) Social and Environmental Screening Template

¹⁴ Responsible Parties, Direct Country Office Support (DCOS), MOUs/LOAs

iii) Risk Analysis.

RISK LOG



Project Title: Managing risks associated with the Gold Ridge Mine Tailings Storage Facility	Award ID: 00097191	Date: 02/10/16
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Differences between GCIL & SIG over mining lease issue and Mine ownership, project could be used by either group for political gain	October 2016	Political Strategic	Project could come to a standstill and not even get off the ground if differences become an issue P = 3 I = 5	Open dialogue with and involvement from the start of company (GRML/GCIL), landowner groups (MDA, KTDA, GRCLC) and G Province and other stakeholders. Needs to be clarified that project is for benefit of all, and is needed urgently to ensure safety of downstream communities. Possibly need to have MOU in place???	MECDM, MMERE, MHMS	ENVIRONMENT PROGRAM ANALYST	02/10/16	no change
2	Most landowner groups part of GCIL, locals could interfere with project if unhappy with SIG position	October 2016	Political Strategic	Project work taking place around TSF and downstream communities could be halted at any stage, project personnel/ contractors/ consultants denied access to areas P = 3 I = 5	Proactive, informative and engaging community awareness to be carried out diligently, necessary that MDA, KTDA and GRCLC be involved and possibly GCIL.	UNDP PMU, MECDM, MMERE	ENVIRONMENT PROGRAM ANALYST	02/10/16	no change
3	UNDP seen as	October	Political	Reputation of UNDP	Community	MECDM,	ENVIRON	02/10/16	no change

	backing govt over locals, getting caught in the middle over issue of Gold Ridge Mine	2016	Strategic	within that area damaged, reducing acceptance of any future UNDP projects in Central Guadalcanal. Wider damage to UNDP reputation if views expressed in media. Possibly lead to less cooperation or assistance from locals causing delays to project P = 3 I = 3	awareness, Involvement of landowner groups as early as possible, these groups would also greatly assist with awareness programs. Open communication and regular updates to landowner groups. Where possible recruit locals for unskilled or semi-skilled work related to the project.	MMERE UNDP PMU, Disaster Risk Reduction and Managemen t Specialist	MENT PROGRAM ANALYST		
4	Perception from landowners over project and related activities, possible lack of trust in government, could raise fear and distrust	October 2016	Political Strategic Environmental	Landowners may feel that information not getting to them or project is for SIG benefit only, may not believe what they hear and feel SIG/ UNDP hiding information. Could damage UNDP reputation. Could delay/slow down or halt work and prevent access to certain areas or cause panic P = 3 I = 5	Community awareness, Involvement of landowner groups as early as possible, these groups would also greatly assist with awareness programs. Open communication and regular updates to landowner groups. Where possible recruit locals for unskilled or semi-skilled work related to the project.	MECDM, MMERE UNDP PMU, Disaster Risk Reduction and Managemen t Specialist	ENVIRON MENT PROGRAM ANALYST	02/10/16	no change
5	Miscommunication , poor coordination of activities and conflicts between stakeholders involved	October 2016	Operational Financial	Incomplete and mixed messages to landowners and stakeholders causing trust issues, delays to project, incomplete and inefficient work, absence of necessary personnel to perform activities or	Need to have an agreement early on with all stakeholders, possibly look into signing MOU?? Early establishment of reporting system and chain of	MECDM, MMERE UNDP PMU, Disaster Risk Reduction and	ENVIRON MENT PROGRAM ANALYST	02/10/16	no change

				represent stakeholders P = 5 I = 3	command, recommend all stakeholders to be regularly updated and focal point person for each ministry, landowner group/community, company or other stakeholder identified early.	Management Specialist			
6	Vandalism of equipment and security/ personal safety of contractors/consultants involved. Past incidents of equipment being vandalised or set on fire by locals	October 2016	Operational Financial	Project to come to a halt if personal safety under threat, injury occurs or equipment destroyed financial cost of compensation and replacement of damaged equipment. Loss of critical data if monitoring equipment damaged P = 2 I = 5	Community awareness to cover benefits of project and dangers if nothing is done. Outline work and monitoring that needs to be done. Propose recruitment of any unskilled and semi-skilled labour (e.g. Security) mainly from surrounding communities and landowner groups. Risks to be communicated to contractors/consultants, liability of UNDP clearly established.	UNDP PMU, Disaster Risk Reduction and Management Specialist	ENVIRONMENT PROGRAM ANALYST	02/10/16	no change
7	Possible damage to structure of TSF leading to leak of contaminated water or tailings	October 2016	Environmental	leak would delay project, extra work to clean up, assess impact and reassure or compensate communities affected P = 1 I = 4	Proper analysis of impacts hazards and risks to be carried out by all consultants/contractors before commencing any work. Requirement for contractors to put in place safeguards/	UNDP PMU, Disaster Risk Reduction and Management Specialist, Technical Advisors	ENVIRONMENT PROGRAM ANALYST	02/10/16	no change

					safety procedures to be outlined in TOR. Maybe need to do EIA				
8	Uncontrolled release of sensitive/incomplete data, misinterpretation by communities/public/media causing panic	October 2016	Operational Strategic						
9									

iv) TORs of key management positions

I. Position Information
Job Code Title: Disaster Risk Reduction and Management Specialist Pre-classified Grade: SB-5 Programme Title: Disaster Risk Reduction and Management programme, including the Gold Ridge Tailings Dam and Return Water Dam Risk Management Project , RESPAC and other related projects Supervisor: Matrix reporting to UNDP SOI Resilience and Sustainable Development Team Leader and secondary supervision by UNDP Country Manager.

II. Functions / Key Results Expected
<p>Summary of Key Functions:</p> <ul style="list-style-type: none"><input type="checkbox"/> Responsible for overall planning, implementation, reporting, and timely delivery of good quality outputs and results of the Gold Ridge Tailings Dam and Return Water Dam Risk Management Project<input type="checkbox"/> Responsible for financial management of the project<input type="checkbox"/> Provide effective liaison and coordination role with partners and the donor.<input type="checkbox"/> Responsible for all technical, planning, managerial, monitoring, progress and financial reporting for the project.<input type="checkbox"/> Support knowledge management and knowledge sharing<input type="checkbox"/> Support to the Resilience & Sustainable Development Portfolio
<p>1. Responsible for overall planning, implementation, reporting, and timely delivery of good quality outputs and results of the Gold Ridge Tailings Dam and Return Water Dam Risk Management Project</p> <ul style="list-style-type: none"><input type="checkbox"/> providing high-quality supervision of the project team as well as effective coordination between the implementing partner, reasonable parties, beneficiaries and UNDP<input type="checkbox"/> day-to-day management, planning, implementation, and monitoring of all project objectives and activities<input type="checkbox"/> responsible for the delivery of all technical outputs and plans and financial reporting in-line with the requirements of UNDP<input type="checkbox"/> Supervise all related activities pursuant to implementation of the objectives and specific activities of the Project<input type="checkbox"/> Prepare the quarterly work plans, quarterly progress report, annual work plan of the project, work programme and monitoring and evaluation procedures and Financial Regulations and reports with high quality that reflects the requirements of RBM and results-based approach, on the basis of the Project Documents and in close consultation and coordination with the Project Board and UNDP<input type="checkbox"/> Prepare and oversee the development of Terms of Reference for consultants and contractors, manage/follow up to ensure timely consultancy deliverables, and be ultimately responsible for the delivery of work produced by consultants under the project<input type="checkbox"/> Source additional funding for initiatives started by the project at the local (site and Provincial level) and national level to ensure sustainability of the interventions. This includes working with national Government to assist them in learning from project initiatives and looking for mainstreaming opportunities to ensure replication and

sustainability

2. Responsible for financial management of the project

- Manage requests for the provision of financial resources from UNDP
- Ensure proper management of funds consistent with UNDP requirements, policies and procedures
- Prepare analysis of project delivery against project work plans, identify any bottlenecks and propose solutions
- Assess annual and quarterly work plans and initiate timely budget revisions
- Plan and facilitate audits if necessary.

3. Provide effective liaison and coordination role with other Disaster Risk Reduction and Management Specialists and coordinators of related and relevant projects and programmes implemented by UNDP, and/or funded by UN agencies (WHO,OCHA etc) and regional CROP Agencies as required

- Coordinate with WHO and relevant line Ministries with regards to Environment stocktake assessments and OCHA/NDMO and line Ministries for the Contingency planning.
- Facilitate liaison and networking within the project, including with relevant donors i.e DFAT, regional organisations, other relevant organisations, non-governmental organisations, key stakeholders and other individuals involved in project implementation
- Foster and establish links with other related UN and regional programmes and projects

4. Responsible for all technical, planning, managerial, monitoring, progress and financial reporting for the project and in the area of disaster risk reduction and management.

- Coordinate and monitor the activities described in the work plan, and report to UNDP and the Project Board, and present to the Project Advisory Group
- Ensure consistency between the various project elements and related activities provided or funded by other donor organizations and national Government
- Coordinate and oversee the timely and effective preparation of the substantive and operational reports for project implementation
- Prepare progress and monitoring reports concerning project activities in accordance with the project monitoring plan, and in accordance with UNDP/donor requirements and format
- Participate and prepare project reviews where required
- Supervise consultants and monitoring of ICs

5. Support knowledge management and knowledge sharing

- Collect and disseminate information on policy, economic, social, scientific, and technical issues related to Project implementation
- Promote public awareness and participatory activities necessary for successful project implementation
- Represent the project at national fora, including international events where required.
- Assist in the delivery of awareness programme on both technical and project management, monitoring and evaluation issues to strengthen national capacity in this area

6. Support to the Resilience & Sustainable Development Portfolio

- Support with DRR programming work with line ministries
- Support with formulation of new projects (when necessary).

III. Reporting and Supervision

Under the direct supervision of the Team Leader of UNDP Resilience and Sustainable Development Unit, the incumbent will facilitate the inception phase of the above project by collecting available information and identifying gaps, developing a clear work plan with priorities and budget. Resource requirements, and necessary technical requirements for the structural assessment and other aspects of the project requirements. He or she promotes a client-oriented and consistent with rules and regulations approach in the Unit. She or he ensures regular and frequent updating and reporting to the UNDP Country Manager as the matrix supervisor and also reports regularly to the Chair of NDC as the main government counterpart.

He or she works in close collaboration with the other sub units within UNDP Solomon Islands including the operations and programme staff.

Report to:

- Team Leader of UNDP Resilience and Sustainable Development Unit and matrix reporting to UNDP Country Manager.
- Project Board (Frequency: Quarterly and if/when required).

IV. Impact of Results

The key results have an impact on the overall effectiveness and efficiency on the delivery of the project particularly an efficient planning, budgeting, management, monitoring and reporting support that contributes to the timely delivery of various project activities and outputs, hence contributing to the achievement of the project outcomes and project objective.

V. Competencies and Critical Success Factors

Functional Competencies:

Corporate Responsibility & Direction

- Serves and promote the vision, mission, values and strategic goals of UNDP

People Skills:

- Recognises and responds appropriately to the ideas, interests, and concerns of others, gives credit to the contribution of others

Managing for Results:

- Plans and prioritises work activities to meet organisational goals

Partnering and Networking:

- Builds and sustains relationships with key constituents(Internal/external/bilateral/multilateral/public/private, civil society)

Innovation and Judgment:

- Conceptualises and analyses problems to identify key issues, underlying problems, and how they relate
- Generates creative, practical approaches to overcome challenging situations
- Devises new systems and processes, and modalities existing ones, to support innovative behaviours

Communication:

- Demonstrates excellent and effective written and oral communication skills
- Demonstrates effective communication skills in a multidisciplinary working environment
- Demonstrate respect to knowledge and culture and religion in a multidisciplinary working environment

Job knowledge & Expertise:

- Applies the required depth and breadth of knowledge and expertise to meet job demands
- Uses Information technology effectively as a tool and a resources Acting as a team player and facilitating team work
- Facilitating and encouraging open communication in the team, communicating effectively
- Creating synergies through self-control
- Managing conflict
- Learning and sharing knowledge and encourage the learning of others. **Promoting learning and knowledge management/sharing is the responsibility of each staff member.**
- Informed and transparent decision making

VI. Recruitment Qualifications

Education:	<ul style="list-style-type: none">• Masters /Bachelors (extensive experience) degree in Management and Public Administration or any Environment/DRR related field.
Experience:	<ul style="list-style-type: none">• Masters<ul style="list-style-type: none">• At least 5 years of work experience in project management. It will be an added value with experience in the Environment/DRR/Governance field.• Experience in working with international organization including Government Ministries.• Proven organizational, interpersonal and communication skills needed for team management and coordination;• Evidence of similar assignment in the last 5 years;• Bachelors (extensive experience)• At least 7-10 years of work experience in project management. It will be an added value with experience in the Environment/DRR/Governance field.• 5-10years, experience in working with international organization including Government Ministries.• Proven organizational, interpersonal and communication skills needed for team management and coordination;• Evidence of similar assignment in the last 7 years;
Language Requirements:	Fluency in the UN and national language of the duty station.