

PROJECT DOCUMENT

[China]



Project Title: United Nations Sustainable Development Cooperation with People's Republic of China
— Water Governance Programme

Project ID: 127579

Implementing Partner: China International Centre for Economic and Technical Exchanges

Start Date: June 30th, 2021 **End Date:** December 31st, 2025 **PAC Meeting Date:** June 25th, 2021

Brief Description

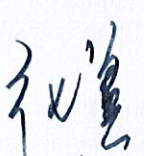
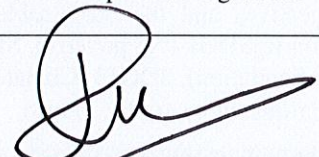
Water Governance Programme (hereinafter referred to as “programme”), initiated by the United Nations Development Programme (UNDP) - China International Centre for Economic and Technical Exchanges (CICETE) - Coca-Cola China in 2007, has been carried out in China for more than ten years. It focuses on key river basins and regions, especially rural areas, and carries out dozens of pilot demonstration projects around water-related people's livelihood, environment, and social development. Expanding partnerships, disseminating water control concepts, models and technologies, and achieved a series of positive results.

In the first year of China's "14th Five-Year Plan", in order to further play the exploratory and demonstrative role of the programme, the implementation strategies for the next 5 years have been designed, including innovative management and pilot demonstration, community participation and women's empowerment, policy advocacy and capacity building, achievement sharing and promotion, and South-South cooperation. This programme is based on China's "14th Five-Year Plan" and 2035 vision, the United Nations Development Program China Country Programme Document (2021-2025), Coca-Cola 2030 Global Water Strategic, and existing achievements and experience of the Program, which helps to facilitate the realization of China's key water-related strategies in the new stage of development and relevant goals of the United Nations 2030 Agenda for Sustainable Development.

<u>Contributing to the Sustainable Development Goals (SDGs):</u> <ul style="list-style-type: none">➤ Goal 1: No Poverty - End poverty in all its forms everywhere➤ Goal 2: Zero Hunger- End hunger, achieve food security and improved nutrition and promote sustainable agriculture➤ Goal 5: Gender Equality- Achieve gender equality and empower all women and girls➤ Goal 6: Clean Water and Sanitation- Ensure availability and sustainable management of water and sanitation for all➤ Goal 13: Climate Action-Take urgent action to combat climate change and its impacts➤ Goal 16: Peace, Justice and Strong Institutions - Improve the governance capacity of rural communities➤ Goal 17: Partnerships for the Goals - Strengthen the means of implementation and revitalize the global partnership for sustainable development	Total resources allocated:	\$2,950,000
	Government	TBD (according to AWP)
	UNDP TRAC	
	Donor	\$2,950,000
<u>Contribution to the United Nations Sustainable Development Cooperation Framework (UNSDCF) from 2021 to 2025 for the People's</u>		

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	Government	\$280,000 in the year of 2021 (Other years' budgets are to be decided according to its AWP)
	UNDP TRAC	
	Donor	\$2,670,000
<u>Contribution to the United Nations Sustainable Development Cooperation Framework (UNSDCF) from 2021 to 2025 for the People's Republic of China</u> <ul style="list-style-type: none"> ➤ Outcome 3: People in China and the region benefit from a healthier and more resilient environment 		
<u>Contributing to United Nations Country Programme Document for China (2021-2025):</u> <ul style="list-style-type: none"> ➤ Outcome 2: Accelerate structural transformations for sustainable development 		
Indicative Output(s) with gender marker ¹ : GEN2		

Agreed by (signatures)²:

China International Centre for Economic & Technical Exchanges	United Nations Development Programme
	
Print Name: Zhang Yi, DDG	Print Name: Devanand Ramiah
Date: July 16, 2021	Date: July 16, 2021
	<div style="border: 2px solid blue; padding: 5px; display: inline-block;"> Deputy Resident Representative </div>

¹ The Gender Marker measures how much a project invests in gender equality and women's empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)

² Note: Adjust signatures as needed

I. BACKGROUND

Through the partnership with the China International Centre for Economic & Technical Exchanges (CICETE), the United Nations Development Programme (UNDP), Coca-Cola China (Coca-Cola), and other relevant government departments, the programme was established in 2007. By 2020, the programme has gone through China's 11th, 12th, and 13th five-year planning periods, surpassing the two stages of the United Nations Millennium Development Goals and the 2030 Sustainable Development Goals. With the continuous development of China's economic, social and ecological civilization, the programme is guided by the Chinese government's Water-related Strategy and the United Nations Sustainable Development Goals under the framework of development cooperation between China and UNDP, combined with the strategic goals and directions of Coca-Cola. Taking the rural regions as the area, the key river basins as the line, and the demonstration projects as the points, focusing on promoting the harmony between human beings and water. The programme has implemented a series of projects through policy research, technical demonstration, capacity building, and diversified management in terms of water resources and ecological protection, water utilization and pollution prevention. Up to now, 38 projects have been established, covering 19 provinces, autonomous regions and municipalities, as well as key river basins including Yangtze River, Yellow River, and Haihe River. It focuses on supporting drinking water safety, water resources protection, water pollution prevention, water ecosystem restoration, and wastewater recycling, soil and water protection and river basin water resources management. Meanwhile, the programme has established a diversified network of cooperation platforms including governments, research institutions, enterprises, social and international organizations, etc. Cooperation in these fields sets a good example for China and UNDP. It has achieved good environmental, social and economic benefits, and has been highly affirmed by all aspects.

In 2021, China has completed its goal of building a moderately prosperous society in all respects followed by moving forward to a new journey of building a socialist modern country in an all-round way. Meanwhile, the cooperation between China and the UNDP enters into a new stage. In March, the Chinese government announced the "Outline of the Fourteenth Five-Year Plan for the National Economic and Social Development of the People's Republic of China and the Long-Range Objectives for the Year 2035" (hereinafter referred to as "plan"), which established the main objectives of the first "five-year" of the new development. The goals and tasks set forth the long-term goal of striving for another 15 years and basically realizing socialist modernization. The plan proposes to adhere to the overall layout of "five in one" as a whole, keeping the development concept of innovation, coordination, green, openness, and sharing, emphasizing on the promotion of green development, and promoting the harmonious coexistence of human and nature.

2021 is a new launching year of the programme (2021-2025) between China and the UNDP. In this new period, China and the UNDP will give priority to support high-quality people-oriented development and the restoration of a healthy environment. They will pay attention to environmental protection and sustainable development, reduce soil erosion, and achieve the localization of sustainable development goals. They will also support South-South cooperation and share practical experience.

At the same time, 2021 is the year when Coca-Cola's new water strategy is launched. The new strategy sets three goals: comprehensive utilization of water resources in production and operation, formation of resilient communities, and development of healthy watersheds. It will adopt water resources goals based on comprehensive utilization of water resources in

production and operations, watershed health, water replenishment, community resilience, and agricultural water use, etc. Taking actions on high-risk areas and key river basins, making sure 100% of production water is returned globally.

Under the framework of new stages, new plans, and new strategies, partners such as CICETE, UNDP, and Coca-Cola will keep pace with the times and propose objectives and activities of the programme (2021-2025) based on the experience of implementing management results for more than 10 years.

II. PROGRAMME STRATEGY

2.1. Development Challenges

China has developed into the world's second largest economy, but it still faces the challenges including insufficient water for production, the shortage of safe drinking water, pollution of the water environment, and deterioration of aquatic ecosystem, which fundamentally impede the fast development of China. In terms of water resources, China suffers water scarcity and the per capita water resource is only 2,400 cubic meters, accounting for only 1/4 of the world's per capita water. Data show that 400 out of 600 cities in China have water scarcity issues. In terms of water pollution, the quality of water sources in many areas is threatened by pollution, posing great pressure on local government. According to the standard of water function zoning, 35.6% of water sources do not reach the current substandard, of which the substandard rate of river courses is 44%, the substandard rate of lakes is 77%, and the substandard rate of reservoirs is 23%. Among the 329 cities in China, 278 cities have reached the water quality standard of centralized drinking water sources, accounting for 84.5%³. Water quality problems are particularly prominent in remote rural areas. By the end of 2017, centralized water supply rate was 85% and tap water supply rate was only 80% in China's rural areas. This indicated that there were still great gaps of the scale and quality of water supply between the rural and urban areas in China⁴.

The water issue also exacerbates the social problem of gender equality. Women in rural areas of China play a key role in the collection, utilization and management of household water. They have a significant influence on the health protection of family members and the cultivation of awareness towards water resources and environmental protection for future generations. However, in terms of participation and decision-making in water-related issues, women belong to a subordinate position, and their viewpoints have not been effectively reflected and adopted.

According to the problem tree of the theory of change (Figure 1), the immediate causes, underlying causes and root causes of the above-mentioned China's water challenge which is the lack of access to safe water in rural and suburban areas are as follows:

(1) Immediate Causes

Water shortage and water pollution in rural and suburban areas are two immediate causes of the China's water challenge.

(2) Underlying Causes

A. Lack of water sources management in communities and watersheds

³ Ensuring the safety of drinking water is a top priority, China National People's Congress, Issue 16, 2015 http://www.npc.gov.cn/zqrdw/npc/zqrdzz/2015-09/16/content_1946715.htm

⁴Kunpeng Liu, Strategic suggestions for development of rural water supply in the period of China's 14th five-year plan, Water Resources Development Research, 2020. <http://www.jsqg.com.cn/Files/PictureDocument/20200602162322147800439154.pdf>

Due to the lack of water sources management in communities and watersheds, excessive land development caused soil erosion and reduced the water storage capacities of these water source areas. In addition, it was challenging to store flood water effectively to increase the amount of water for the water sources due to poor watershed stormwater management. These result in insufficient water in the water sources

B. Shortcomings of water-saving technology and management mode

Due to weak water-saving awareness in China's rural and suburban areas, a large amount of agricultural and domestic water was wasted. Besides, water utilization efficiency was low due to shortages of advanced water-saving infrastructures and management modes.

C. Water pollution in communities and watershed areas

Overuse of chemicals (e.g., pesticides and fertilizers) in agricultural production and poor management of agricultural wastes (e.g., straws and livestock manure) caused non-point source pollution in communities and watershed areas. In addition, due to the shortage of water treatment facilities, a large amount of sewage was discharged into water systems, such as watersheds, rivers, lakes, and wetlands, resulting in forming black and smelly water, lack of clean drinking water, and risks of human health.

D. Vulnerabilities of watershed ecosystems

With the rapid development of urbanization, the natural resources have been explicated exceedingly, resulting in biological habitat destruction, biodiversity loss, and ecosystem collapse. In addition, frequent occurrence of extreme weather events (e.g., El Nino and La Nina) arisen from changing climate can also cause adverse effects on the watershed ecosystems. Consequently, the water-storage and self-purification capacities of the watershed ecosystems decrease and further cause resource-oriented and quality-oriented water scarcities.

(3) Root causes

A. Poor management strategy

Although China has obtained outstanding achievements in economic development, there were relatively conspicuous issues of water scarcity, water pollution, and ecosystem vulnerability. These issues are becoming more and more serious, particularly in the rural and suburban areas, due to shortcomings of water resources development and management, water right, ecological compensation regulation, sustainable-development indicator system, and water-saving social advocacy. Besides, the risks associated with policy promotion, demand identification, progress control, outcome delivery, which are due to the weakness of community governance capacities, can cause the vulnerable resilience of the communities. Therefore, poor management strategies and low management capacities have affected the harmonious development of agricultural production, farmers' lives, and rural ecosystems, restricted water-related sustainable development and disturbed China's rural revitalization and green development.

B. Shortage of integrated treatment

The integrated treatment technologies in terms of water resources management, water-saving irrigation, wastewater treatment, safe drinking water, energy conservation, and emission reduction are inadequate to adapt to the demands of rural and suburban areas, particularly in natural-based solutions. This shortcoming is attributed to the inadequate investments in rural areas during the rural and urban development processes.

C. Scarcity of public participation

One of the keys to sustainable development in the water-related field is the community at the grassroots level. The active participation of the community is indispensable for the demand identification, design and planning, implementation, evaluation, operation and maintenance, and promotion of the project. Due to various reasons, it is challenging to organize social forces to effectively participate in the operation and management of the project by local governments, communities, and enterprises. Therefore, it is necessary to explore the system mechanism of social effective and orderly participation and give play to the role of grass-roots communities.

D. Insufficient sharing of outcomes

At present, the programme has been achieved a large number of remarkable outcomes in the water-related fields. However, due to the lack of platforms, there is no organization and promotion of the results input system, making it difficult to exert more significant influences, further promote it in the demanding areas, and generate spillover effects. In addition, in rural water governance, China needs to communicate with advanced countries and institutions through building various effective channels. Meanwhile, China's successful experiences and modes of water resources management also need such channels and platforms to share with other developing countries.

E. Strengthening of women's empowerment

Women play an important role in the sustainable development of China's water resource management, especially in rural areas. Women play multiple roles, such as enlightenment educators, laborers, and family managers, which directly affect the acquisition of water-related knowledge, the establishment of environmental awareness, and the enthusiasm for participation. However, due to cultural differences, women's status in rural areas is not high, and women's rights and influence are neglected. These situations do not facilitate motivating public participation in water-related projects, enhance environmental awareness of households, and guarantee sustainable operating performance.

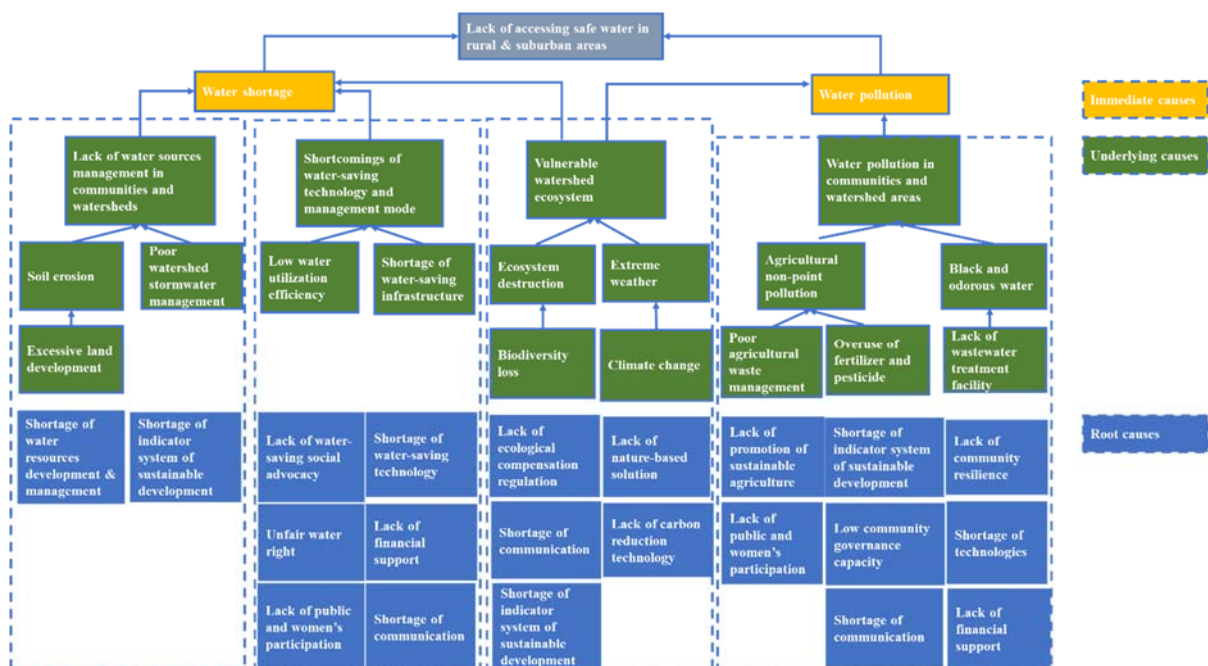


Figure 1 Problem tree for Theory of Change

2.2. Development Strategy

According to the problem tree for Theory of Change (Figure 2), the programme will fully use its existing advantages. It will be guided by China's 14th Five-Year Plan and Long-Range Objective through the Year 2035, the UNDP Country Programme Document for China (2021-2025), and Coca-Cola 2030 water strategy. The programme will promote water resources, water ecology, and water environment, aiming to achieve the coordinated development of production, life, and ecology. The implementation layout of the programme will be mainly based on domestic cooperation, supplemented by South-South cooperation, mainly in rural areas, and supplemented by urban cooperation. The programme will be implemented with high-quality management and sustainable development; the integration of innovation, demonstration, promotion, capacity building, and diverse participation will be explored. With the support of strengthened partnerships and enhanced implementation capacity, the programme will give full play to its diverse characteristics in water management and promote sound and sustainable development in the new decade.

2.2.1. Comprehensive Governance and Cross-Field Integration

The programme will focus on water resources, water ecology, and water environment protection and utilization; actively integrate the impact of climate change, biodiversity, sustainable agriculture, human settlements, energy conservation, emission reduction, and carbon neutrality following actual needs and conditions. The water governance will enhance the multi-dimensional implementation effect of the project, promote the effective implementation of top-level strategic measures, increase cross-sector communication and collaboration, and improve the effectiveness of integrated governance.

2.2.2. Key Points and Catalytic Effect

The programme will be positioned to help promote key strategies and initiatives of the Government of China and UNDP, emphasizing integrating strategies and initiatives such as rural revitalization. The previous experience and implementation basis of the programme will be mainly focused on crucial river basins such as the Yellow River and Haihe River and in rural areas, especially those where the achievements of poverty alleviation are consolidated and expanded with rural revitalization, and appropriate integration will be made into other river basins and regions according to actual conditions. With the characteristics of innovation, exploration, precision, and agility, the programme will play the role of leveraging and catalyzing related high-quality resources.

2.2.3. Community and Collaborative Governance

The programme will focus on enhancing and strengthening community participation in the new cycle and encouraging village collectives, professional associations, community organizations, volunteers, and other social forces to play an active role under the government's leadership. The community will participate in demand identification, planning consultation, measure formulation, implementation management, effect evaluation, promotion and publicity, and operation and maintenance. These behaviors help to improve the mechanism of co-consultation, co-construction, and co-management. The community will cooperate with the government and social management research institutions to foster the effective participation of the above social forces.

2.2.4. International Communication

The water programme will support international exchanges of water-related technology management in relation to the programme's objectives. On the basis of research and analysis on both the demand and supply sides, we will promote learning and exchanges between China and relevant countries and institutions, which are advanced in the field of

water management, by means of seminars, training and information platform construction. On the other hand, China's water management experience, model, technology, human resources and products, which are both applicable and practical. They have been tested as mature in domestic practice, which can be shared with other developing countries.

2.2.5 Women's Participation and Equal Rights

The programme will further emphasize the important role of women's participation in the implementation and management of the programme. Women are indispensable forces in project decision-making, implementation, and development. They are encouraged to participate in projects on an equal basis with men through management policies and capacity building, and finally obtain opportunities for self-development. Women will also be given the priority in related fields and activities. Indicators related to gender equality are incorporated into the evaluation system for the main activities of the project to ensure that women participate equally in and benefit from the activities of the project.

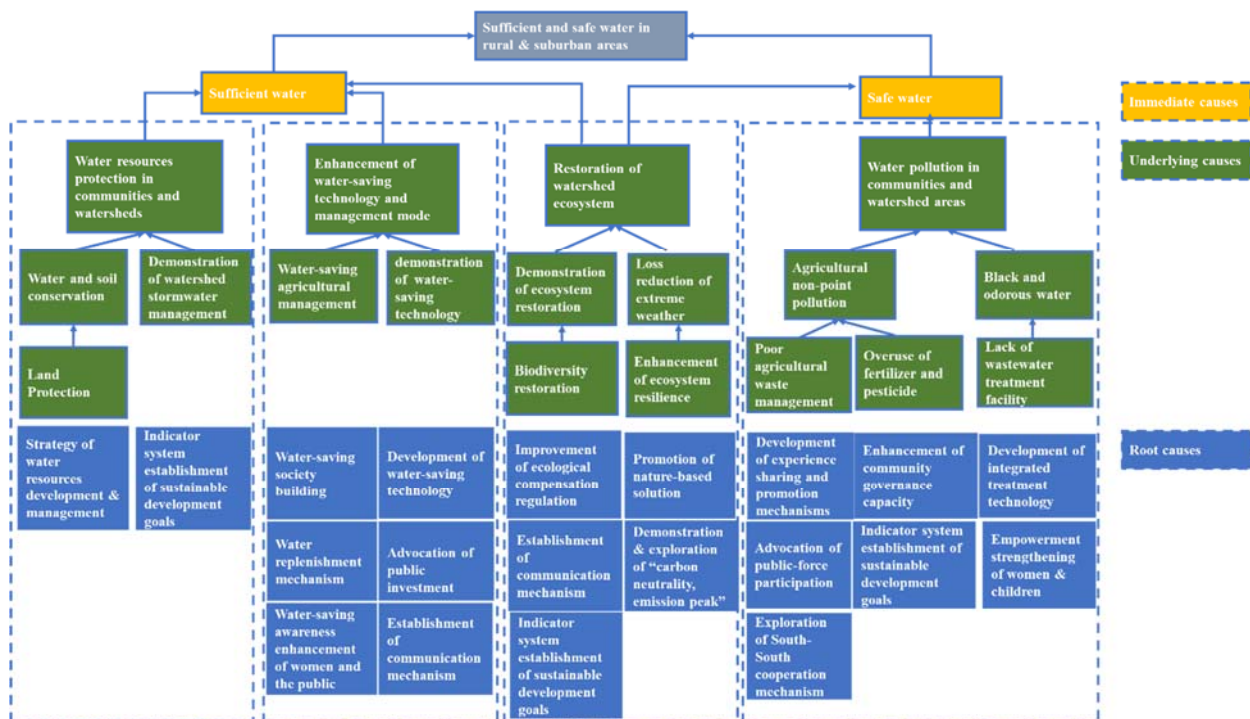


Figure 2 Solution Tree of Theory of Change

III. EXPECTED OUTCOMES AND PARTNERSHIPS

3.1. Programme Objective

The programme aims to help the implementation of China's key strategies in water-related areas and the realization of the 2030 Agenda for Sustainable Development through technological innovation, pilot demonstration, community participation, women empowerment, policy advocacy, capacity building, and outcomes sharing and promotion.

3.2. Expected Outputs and Activities

Expected Output 1: The participation of public and communities with women as the key group will be improved through technology-leading demonstration, institutional mechanism innovation, capacity building, and publicity and promotion. By doing so, the water resources

in the demonstration areas (represented by rural areas and key river basins) will be effectively protected and utilized, water ecology will be actively improved, water pollution will be effectively prevented and controlled, and drinking water safety conditions will be improved, the overall economy, ecological environment and other related topics in the water-related field will be comprehensively developed.

Activity 1.1.: Support the implementation of projects for effective protection and utilization of water resources, especially the themes of water source protection, soil erosion prevention, efficient water-saving agriculture and water-saving society construction. Strengthen the public awareness of water conservation and protection, particularly for women and families.

Activity 1.2.: Support the implementation of water ecological restoration projects, especially the topics of ecological water regulation, ecological compensation mechanism, ecological habitability, protection of ecological protection zone and wetland resource, and biological diversity.

Activity 1.3.: Support the implementation of projects for water pollution prevention and control, especially the projects about prevention and control of point source and non-point source pollution in rural and urban areas, improvement of drinking water quality and sanitation and health conditions. Encourage women to participate in these projects in rural areas.

Expected Output 2: The sustainable development goals of the 2030 Agenda for Sustainable Development are expected to be localized and realized. The management mechanisms, models, methods and practices reflecting the characteristics of the basin at different levels will be effectively collected and refined. Cross-domain exploration will be implemented. The level of diversified collaboration in co-discussion, co-construction and co-management among the government, communities, scientific research institutions, and enterprises will be further improved.

Activity 2.1.: Support the construction and demonstration of index system to evaluate the localization of water-related targets under the 2030 Agenda for Sustainable Development.

Activity 2.2.: Support the innovative exploration and integration of management mechanisms, modes, methods, and practices. Establish a network for effective and efficient sharing and dissemination.

Activity 2.3.: Encourage social forces represented by communities to participate in water conservancy activities. Mobilize and cultivate forces of community and society including women as a focus through capacity building. Construct a mechanism for joint consultation, joint construction and joint management by multi-parties.

Activity 2.4.: Support the promotion of strategies and policies from key partners, including the Chinese government, the United Nations Development Program and Coca-Cola China, to strengthen the visibility and influence of the Water Governance Programme.

Expected Output 3: Through the promotion of South-South cooperation in the water-related field, China's wisdom in water governance will be effectively disseminated. Water-based cooperation channels among China and other developing countries will be further enriched.

Activity 3.1.: Support the implementation of capacity building and experience sharing activities such as seminars on water resource protection.

Activity 3.2.: Support the implementation of capacity building and talent training activities for developing countries, especially in the regions of Lancang-Mekong, Central

Asia (Members of Shanghai Cooperation Organization), and Africa. Women will be given priority.

3.3. Resources Required to Achieve Expected Outcomes

All parties will fully use their respective advantages and jointly coordinate to promote the healthy and sustainable development of the programme. The required resources will include the supervision and guidance from UNDP and CICETE, the influence of UNDP and its international intellectual cooperation network, the executive management coordination hub of the CICETE, the corporate influence, innovative ideas and financial support of Coca-Cola, and the policy guidance, administrative support and implementation of the related competent ministries and governments at all levels. The implementation and management capabilities of the management office for Water Governance Programme (hereinafter referred to as the “Programme Office”) and the project offices at all levels will be also required to achieve expected outcomes.

3.3.1. Partnerships

2021 is the first year of China’s “14th Five-Year Plan”. “Village Revitalization” and “Green Development” are the key strategies of China’s “14th Five-Year Plan” and Long-Range Objectives Through the Year 2035. The CICETE will cooperate with relevant ministries and local governments from the national policy level to deploy and guide the programme, will promote the integration of the Water Governance Programme with the development plans of governments at all levels to attract support and investment from governments, and thus improve the feasibility and completion of the project in local implementation. UNDP will guide the localization of the programme’s sustainable development goals, improve the consistency of the programme with the relevant objectives in 2030 Agenda for Sustainable Development, pay special attention to the development and progress of gender equality in the field of water resources, promote the sharing of China’s experience under the framework of South-South cooperation, and enhance the international influence of the programme and project results. Meanwhile, water replenishment, river basin risk management, women empowerment, and sustainable community construction are important goals of the Coca-Cola 2030 Water Strategy. The International Centre for Economic & Technical Exchanges of the Ministry of Water Resources, the Haihe River Basin and Beihai Sea Area Ecological Environment Supervision and Administration Bureau of the Ministry of Ecology and Environment, Tianjin University, Beijing Academy of Agriculture and Forestry Sciences, Beijing Normal University and other partners have strong ability of technical research and development in the exploitation and utilization of water resources, agricultural non-point source pollution control, sustainable development of agriculture, soil and water conservation, and aquatic ecology protection. They will provide a solid support for the technical development of this project. The Lancang-Mekong Water Resources Cooperation Center and the Institute of Ecology and Geography of the Chinese Academy of Sciences will utilize the existing platform of international development and cooperation, to actively provide capacity-building support to other developing countries and strengthen sharing and exchanges in water resources technology and integrated management.

3.3.2. Risks and Assumptions (See Annex 5: Risk Log for details)

(1) The outbreak of COVID-19 may affect the implementation of offline activities such as on-site investigations. Various methods such as online meetings will be used to deal with this risk.

(2) The potential security risks in project implementation, operation, or follow-up operation and maintenance will be evaded and responded to, in conjunction with the preliminary assessment of the expert team, the entire technical guidance and review, the subsequent transfer of operation and maintenance training, and the division of responsibilities.

(3) If the project progress is delayed or the expected results cannot be fully realized, the Programme Office will strengthen implementation management through evaluation, tracking, consultation, and supervision, track the project progress and resolve corresponding risks using management auxiliary tools such as experiment performance evaluation and project management system, and provide necessary technical supports for projects that are behind schedule to ensure the completion of the project. Meanwhile, training in technical and management capacity building will be carried out for the project office members to improve their capacity for risk response.

(4) The risk of reputational damage to UNDP and other partners caused by improper use of the project partner's brand will be evaded and responded to through strict preliminary due diligence, brand use supervision, and smooth communication.

(5) The funds in the work plan, including UNDP funds, parallel funds, or government apportionment funds, may not be available in time. This risk will be evaded and responded to through close communication between the Programme Office and project partners in daily work. Problems will be reported to the steering committee in time.

3.3.3. Stakeholder Participation

Target groups: The project targets communities and residents in the areas of pilot projects, especially local farmers, with a particular focus on women and children. Technical and financial support will be provided through projects to help local governments to speed up achieving the goals of the "14th Five-Year Plan" and the Long-Range Objectives Through the Year 2035. This programme will improve the capabilities of local governments through training activities. Achievements of this programme will be publicized through publicity activities. Through the improvement of the rural water environment, enhancement of rural water safety, development of sustainable agriculture, farmers' income will be increased, farmers' life quality will be improved, and farmers' health will be protected. This programme will also protect the rights and interests of women and children through training activities and public participation.

Potential groups: Relevant government departments, research institutions, social organizations in China, government departments of other developing countries, etc. Management capabilities in all aspects of these potential groups will be improved through implementing and participating in different projects' activities.

3.3.4. South-South Cooperation and Tripartite Cooperation

The exchanges and cooperation relationship established by the Lancang-Mekong Water Resources Cooperation Center and the Xinjiang Institute of Ecology and Geography of the Chinese Academy of Sciences with countries in Lancang-Mekong region and Central Asian States will be conducive to expanding the international influence of the programme. In order to promote the promotion of project results and knowledge sharing, relevant research institutions, experts, scholars, and enterprises from China, key regions of other developing countries, and worldwide with advanced water control technology and experience will be invited to participate in international exchange activities such as the "Energy, Water, Environment" (EWE) International Seminar, the Lancang-Mekong Water Resources

Cooperation Forum, the Lancang-Mekong Young Scholars Joint Research Program, and the Central Asia Cooperation Forum.

3.3.5. Knowledge

The Water Governance Programme will promote the experiences and results to target groups, potential groups and other audiences through multimedia, seminars, training activities, special issues of international journals, and other sharing and exchange platforms.

3.3.6. Sustainability and Scale Development

2021 is the first year of China's "14th Five-Year Plan". "Village Revitalization" and "Green Development" are the key strategies of the "14th Five-Year Plan". The Water Governance Programme is highly compatible with China's "14th Five-Year" development plan and the Long-Range Objectives Through the Year 2035. This will help promote the integration of the Programme with the development plans of governments at all levels, attract governments to provide supporting infrastructure, explore sustainable operation management model, encourage the replication and promotion of relevant results, and promote the sustainable development of the Water Governance Programme.

IV. PROJECT MANAGEMENT

The Water Governance Programme (WGP) will be jointly implemented by UNDP, CICETE, Coca-Cola, and relevant government partners. This programme will be carried out in accordance with the provisions of the "Implementation and Management of China-UNDP Cooperation Project", as well as relevant Chinese laws and regulations.

The updated programme will continue to use the existing management strategy, framework and mode. It includes the decision-making mechanism of the steering committee consisted of the UNDP, CICETE and Coca-Cola; and the two-level implementation management structure, including programme level and project one (Figure 3).

The Programme Steering Committee (PSC) is responsible for making decisions on major issues such as the overall objectives of the programme, implementation strategies, annual work plans and budgets. It usually holds at least one annual review meeting. In daily management, as the programme executive agency, the CICETE is responsible for monitoring and supervising the operation of the National Programme Management Office (NPMO) and local project offices (LPMO). If necessary, it will also collaborate with the UNDP and Coca-Cola, to convene work meetings to supervise the implementation of the overall programme, check the progress of annual work plans and budgets, negotiate and approve general adjustments in daily management, and compose work meeting summaries as records.

Under the guidance of the programme director, the NPMO is responsible for coordinating and promoting daily management tasks at both of the programme level and the project one. It provides guidance, monitoring, evaluation, and technical consultation throughout the entire progress of project approval, implementation, acceptance inspection, and post-operation. An expert group (set up an expert committee as appropriate) will be assigned under the guidance of UNDP and CICETE and under the leadership of the programme director. A chief expert will organize the expert group to provide plan and technical evaluation for SPC, and technical consultation of implementation for NPMO.

LPMO will be established by project operation party, which is in charge of project implementation and financial management under the guidance of CICETE and UNDP, under

the coordination, technical support and supervision of the NPMO, and under leadership of the programme director. In addition, LPMO is responsible to NPMO for implementation quality, progress, compliance, and fund security. LPMO is also responsible to CICEIE and UNDP for outcome delivery of the relative project. At the same time, it is under the inspection and supervision of CICEIE and UNDP.

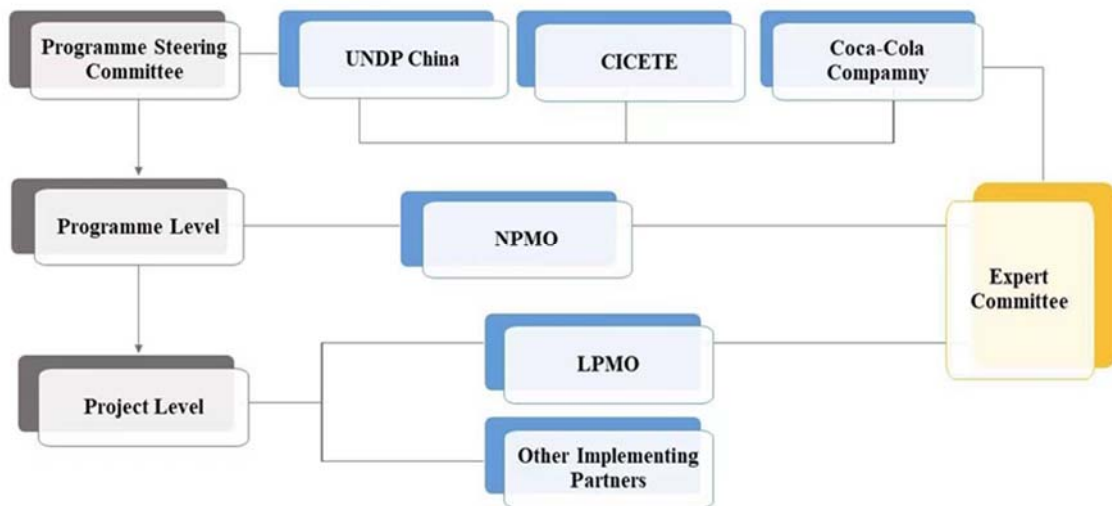


Figure 3. Management structure of the project management office

The source of programme funding includes grants to the UNDP by Coca-Cola (including Coca-Cola China and Coca-Cola Foundation) (third party cost sharing), UNDP core resources, Chinese cost sharing and parallel funds, etc. Among them, the Coca-Cola Foundation grants are applied annually by the UNDP in accordance with the management procedures of the Coca-Cola Foundation. The specific application process will be led by UNDP, and the application direction will be determined together with the CICEIE and Coca-Cola. The NPMO will be responsible for the collection of applications, the evaluation of implementation plans, and the compilation of final applications. Upon confirmation by the CICEIE and Coca-Cola, UNDP will submit the application materials to the Coca-Cola Foundation in accordance with the review requirements, during which the NPMO will provide technical assistance. The management of other sources of funds, such as parallel funds or shared funds, should refer to the "the Implementation and Management of China-UNDP Cooperation Projects".

In terms of the use of project funds, before the implementation of project activities, the project implementation parties shall submit funding applications to the NPMO following the approved implementation plan. After that, the NPMO shall submit it to the CICEIE for approval after review. The project implementation unit shall report regularly to the NPMO on the use of funds and carry out the necessary internal review of funds to ensure the effectiveness and compliance of the use of the approved funds.

V. RESULTS AND RESOURCES FRAMEWORK⁵

2021-2025 RESULTS AND RESOURCES FRAMEWORK

<u>Contributing to the Sustainable Development Goals:</u>										
Goal 1: No Poverty - End poverty in all its forms everywhere										
Goal 2: Zero Hunger- End hunger, achieve food security and improved nutrition and promote sustainable agriculture										
Goal 5: Gender Equality- Achieve gender equality and empower all women and girls										
Goal 6: Clean Water and Sanitation- Ensure availability and sustainable management of water and sanitation for all										
Goal 13: Climate Action-Take urgent action to combat climate change and its impacts										
Goal 16 Peace, Justice and Strong Institutions - Improve the governance capacity of rural communities										
Goal 17 Partnerships for the Goals - Strengthen the means of implementation and revitalize the global partnership for sustainable development										
<u>Contributing to United Nations Sustainable Development Cooperation Framework with People's Republic of China (2021-2025):</u>										
Outcome 3: People in China and the region benefit from a healthier and more resilient environment										
<u>Contributing to United Nations Country Programme Document for China (2021-2025):</u>										
Outcome 2: Accelerate structural transformations for sustainable development										
<u>Indicative Output(s) with gender marker :</u> GEN2										
Project Title:: United Nations Sustainable Development Cooperation with People's Republic of China — Programme										
Atlas number:										
EXPECTED OUTPUTS	OUTPUT INDICATORS ⁶	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS
			Value	Year	2021	2022	2023	2024	2025	
Output 1: Achieve effective protection and utilization of water resources, actively improvement of water	1.1Clean water (ML)	Coca-Cola 2020 Annual Progress Report	500	2020	600	600	700	700	800	Third party accounting

⁵ The United Nations Development Programme publishes its project information (indicators, benchmarks, goals and results) to meet the transparency and initiative standards of the International Aid. Please ensure that the indicators are specific, measurable, available, relevant, and time-bound. Please provide accurate benchmarks and targets based on reliable evidence and data. Please avoid acronyms to ensure that all readers have a clear understanding of the results of the project.

⁶ In addition to the outcome indicators for a specific project, it is recommended that the project use the relevant output indicators of the strategic planning IRRF. Indicators should be categorized by gender or other relevant target groups.

ecology and drinking water safety conditions, and effective prevention and control of water pollution in demonstration areas, which is represented by rural areas and key river basins, through technology-led demonstration, mechanism and system innovation, capacity building, and publicity. Achieve a coordinated development of water-related economy and ecological environment.	1.2 Beneficiary population	Coca-Cola 2020 Annual Progress Report	100,000	2020	110,000	120,000	120,000	130,000	130,000	Third party accounting
	1.3 Proportion of beneficiary females	Coca-Cola 2020 Annual Progress Report	56%	2020	56%	56%	57%	57%	58%	Third party accounting
	1.4 Number of women in the beneficiary population	Coca-Cola 2020 Annual Progress Report	56,000	2020	61,600	67,200	68,400	74,100	75,400	Third party accounting
	1.5 Number of children in the beneficiary population (under 12 years old)	Coca-Cola 2020 Annual Progress Report	58,750	2020	64,625	70,500	70,500	76,375	76,375	Third party accounting
	1.6 Number of women's empowerment activities	Coca-Cola 2020 Annual Progress Report	2	2020	2	3	3	4	4	Third party accounting
	1.7 Increase in the proportion of female employment	《Gender Equality and Women's Development in China》 (September 2015)	45%	2013	45.5%	46%	46%	47%	47%	Third party accounting
	Output 2: The sustainable development goals of the 2030 Agenda for Sustainable Development are expected to be localized and realized. The management mechanisms, models, methods and practices reflecting the characteristics of the basin at different levels will be effectively collected and refined. Cross-field exploration will be implemented. The level of diversified collaboration in co-	2.1 Clean water (ML)	Coca-Cola 2020 Annual Progress Report	1200	2020	1300	1400	1400	1500	1500
2.2 Beneficiary population		Coca-Cola 2020 Annual Progress Report	100,000	2020	110,000	120,000	120,000	130,000	130,000	Third party accounting
2.3 Proportion of beneficiary females		Coca-Cola 2020 Annual Progress Report	56%	2020	56%	56%	57%	57%	58%	Third party accounting
2.4 Number of women in the beneficiary population		Coca-Cola 2020 Annual Progress Report	56,000	2020	61,600	67,200	68,400	74,100	75,400	Third party accounting
2.5 Number of children in the beneficiary population		Coca-Cola 2020 Annual Progress Report	58,750	2020	64,625	70,500	70,500	76,375	76,375	Third party accounting
2.6 Proportion of women participating in training activities		Coca-Cola 2020 Annual Progress Report	56%	2020	56%	57%	57%	58%	58%	Third party accounting

consultation, co-construction and co-management among the government, communities, scientific research institutions, and enterprises will be further improved.	2.7 Gender indicators in the sustainable development system	Coca-Cola 2020 Annual Progress Report	GEN1	2020	GEN2	GEN2	GEN2	GEN2	GEN2	Third party accounting
Output 3: Through the promotion of South-South cooperation in the water-related field, China's wisdom in water governance will be effectively disseminated. Water-based cooperation channels among China and other developing countries will be further enriched.	3.1 Beneficiary population	Coca-Cola 2020 Annual Progress Report	50,000	2020	51,000	52,000	53,000	54,000	55,000	Third party accounting
	3.2 Proportion of beneficiary females	Coca-Cola 2020 Annual Progress Report	56%	2020	56%	56%	57%	57%	58%	Third party accounting
	3.3 Number of women in the beneficiary population	Coca-Cola 2020 Annual Progress Report	28,000	2020	28,560	29,120	30,210	30,780	31,900	Third party accounting
	3.4 Total population of international exchange activities	Coca-Cola 2020 Annual Progress Report	2,000	2020	2,100	2,200	2,200	2,300	2,300	Third party accounting
	3.5 Proportion of women participating in international exchange activities	《Gender Equality and Women's Development in China》 (September 2015)	30%	2013	30%	31%	31%	32%	32%	Third party accounting

VI. MONITOR AND EVALUATION

The monitoring and evaluation (M &E) plan of the project will be undertaken in line with the UNDP project policies and procedures.

M &E plan:

M &E activities	Objective	Frequency	Excepted activities	Partner	Cost
Track the progress of project	Collect and analyse data for the outcome indicators of the "Outcomes and Resources Framework" to evaluate the progress of projects in achieving outputs.	Quarterly, or based on the frequency required for each indicator	If delays are expected, project management will try to address them		
Monitor and manage risks	Identify specific risks that could threaten the achievement of expected results through risk logs identification and monitoring risk management actions. This includes monitoring measures and plans that may be required in accordance with the "Social and Environmental Standards" of the UNDP. The audit will be conducted in accordance with the audit policy of the UNDP to manage financial risks.	Quarterly	The project management department clarifies the risks and takes actions to control the risks. Actively maintain risk logs to track identified risks and actions.		
Learn lessons	Collect knowledge, good practices and lessons learned regularly and actively acquire resource knowledge, good practices and lessons from other projects and partners and integrate them into the project.	At least once a year	The project team collects relevant experiences and lessons, and uses them to influence management decisions.		
Annual project quality assurance	The quality of the project will be evaluated according to the quality standards of the UNDP to determine the advantages and disadvantages of the project, which will ultimately influence management decisions and improve the project.	Annually	Strengths and weaknesses will be reviewed by project management to influence decision-making and improve project performance.		
Review and adjustment	Conduct internal reviews of data on all regulatory actions to influence decision making.	At least once a year	Performance data, risks, lessons learned, and quality will be discussed by the project committee and used for project adjustment.		
Project report	Submit progress reports to project committee and key stakeholders. The report should include progress data showing the achieved outputs relative to the expected annual targets, the summary of the annual project quality rating, the latest risk management measures,	Once a year, at the end of the project (final report)			

	and any assessments or reviews made during that period.				
Project review (Project Steering Committee)	The project management mechanism (project steering committee) will conduct periodic project reviews to assess the performance of the project and review the multi-year work plan to ensure that actual budgeting is feasible throughout the project lifecycle. In the final year of the project, the project committee will conduct a final project review to summarize lessons learned, discuss opportunities to expand and socialize project results, and the lessons learned with relevant audiences.	Specify frequency (e.g., at least once a year)	The project committee discusses all quality issues or situations that are behind schedule and negotiates management measures to deal with the problems found.		

VII. MULTI-YEAR WORK PLAN ⁷⁸

2021-2025 Annual Work Plan

Expected Outputs	Planned Activities	Planned Budget by Year					Responsible Party	Planned Budget	
		2021	2022	2023	2024	2025		Funding Source	Amount (US\$)
Output 1: Achieve effective protection and utilization of water resources, improvement of water ecology and drinking water safety conditions, and effective prevention and control of water pollution in demonstration areas, which is represented by rural areas key river basins, through technology-led demonstration, mechanism-system innovation, capacity building, and publicity. Achieve a coordinated development of water-related economy and ecological environment.	Activity 1.1. Support the implementation of projects for effective protection and utilization of water resources, especially the themes of water source protection, soil erosion prevention, efficient water-saving agriculture and water-saving society construction. Strengthen the public awareness of water conservation and protection, particularly for women and families.	50,000	50,000	50,000	50,000	50,000	CICETE /UNDP	Third Party Cost Sharing	250,000
	Activity 1.2. Support the implementation of water ecological restoration projects, especially the topics of ecological water regulation, ecological compensation mechanism, ecological habitability, protection of ecological protection zone and wetland resource, and biological diversity.	50,000	50,000	50,000	50,000	50,000	CICETE /UNDP	Third Party Cost Sharing	250,000
	Activity 1.3. Support the implementation of projects for water pollution prevention and control, especially the projects about prevention and control of point source and non-point source pollution in rural and urban areas, improvement of drinking water quality and sanitation and health conditions. Encourage women to participate in these projects in rural areas.	50,000	50,000	50,000	50,000	50,000	CICETE /UNDP	Third Party Cost Sharing	250,000

⁷ Decision DP/2010/32 of the Executive Board of the United Nations Development Programme stipulates the definition and classification of program costs, as well as the development effectiveness costs charged by the project.

⁸Project budget changes that affect the scope (output), completion date, or estimated total cost of the project require formal budget revisions, and the revisions must be signed by the project committee. In other cases, as long as the other signatories have no objections, the UNDP project manager alone can sign the project modification. For example, if the budget is modified only to re-adjust the activity phases between the years, this procedure can be applied.

	Output 1 Sub-Total:		750,000
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Expected Outputs	Planned Activities	Planned Budget by Year					Responsible Party	Planned Budget	
		2021	2022	2023	2024	2025		Funding Source	Amount (US\$)
<p>Output 2: The sustainable development goals of the 2030 Agenda for Sustainable Development are expected to be localized and realized. The management mechanisms, models, methods and practices reflecting the characteristics of the basin at different levels will be effectively collected and refined. Cross-field exploration will be implemented. The level of diversified collaboration in co-consultation, co-construction and co-management among the government, communities, scientific research institutions, and enterprises will be further improved.</p>	Activity 2.1. Support the construction and demonstration of index system to evaluate the localization of water-related targets under the 2030 Agenda for Sustainable Development.	120,000	120,000	120,000	120,000	120,000	CICETE /UNDP	Third Party Cost Sharing	600,000
	Activity 2.2. Support the innovative exploration and integration of management mechanisms, modes, methods, and practices. Establish a network for effective and efficient sharing and dissemination.	60,000	60,000	60,000	60,000	60,000	CICETE /UNDP	Third Party Cost Sharing	300,000
	Activity 2.3. Encourage social forces represented by communities to participate in water conservancy activities. Mobilize and cultivate forces of community and society including women as a focus through capacity building. Construct a mechanism for co-consultation, co-construction and co-management among multi-parties.	32,000	32,000	32,000	32,000	32,000	CICETE /UNDP	Third Party Cost Sharing	160,000
	Activity 2.4. Support the promotion of strategies and policies from key partners, including the Chinese government, the United Nations Development Program and Coca-Cola China, to strengthen the visibility and influence of the Water Governance Programme.	32,000	32,000	32,000	32,000	32,000	CICETE /UNDP	Third Party Cost Sharing	160,000
	Output 2 Sub-Total:								1,220,000

Expected Outputs	Planned Activities	Planned Budget by Year					Responsible Party	Planned Budget	
		2021	2022	2023	2024	2025		Funding Source	Amount (US\$)
Output 3: Through the promotion of South-South cooperation in the water-related field, China's wisdom in water governance will be effectively disseminated. Water-based cooperation channels among China and other developing countries will be further enriched.	Activity 3.1. Support the implementation of capacity building and experience sharing activities such as seminars on water resource protection.	40,000	40,000	40,000	40,000	40,000	CICETE /UNDP	Third Party Cost Sharing	200,000
	Activity 3.2. Support the implementation of capacity building and talent training activities for developing countries, especially in the regions of Lancang-Mekong, Central Asia (Members of Shanghai Cooperation Organization), and Africa. Women will be given priority.	51,600	51,600	51,600	51,600	51,600	CICETE /UNDP	Third Party Cost Sharing	258,000
Output 3 Sub-Total:									458,000
Assessment		10,000	10,000	10,000	10,000	10,000	CICETE /UNDP	Third Party Cost Sharing	50,000
GMS		94,400	94,400	94,400	94,400	94,400	CICETE /UNDP	Third Party Cost Sharing	472,000
Sub-Total:									2,950,000

Planned Budget	Amount (US\$)
2021-2025	2,950,000
Total	2,950,000

VIII. Legal Context

This project document shall be a legal document referred to in Article 1 of the "Standard Basic Assistance Agreement" signed between the China International Economic and Technical Exchange Center of the Ministry of Commerce and the United Nations Development Program in "Implementing agency" shall be regarded as referring to "implementing partner".

This project will only be implemented by (the "implementing partner") in accordance with its financial regulations, rules, conventions and procedures if it does not violate the principles of the Financial Regulations and Rules of the United Nations Development Programme. If the financial governance of the implementing partner does not provide the necessary guidance to ensure value for money, fair, just, transparent and effective international competition, the financial governance of the United Nations Development Programme shall apply.

IX. Risk Management

1. Consistent with the Article III of the SBAA [or the Supplemental Provisions to the Project Document], the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- 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.

2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document. (a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA"). (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing

Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment (“SH”). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.

5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:

- i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
- ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;
- iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
- iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
- v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

6. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

7. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

8. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

12. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality. Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

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

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

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

15. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

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

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

1. The schedule of payments and UNDP bank account details.
2. The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.
3. The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.
4. UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.
5. All financial accounts and statements shall be expressed in United States dollars.
6. If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavors to obtain the additional funds required.

7. If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph [] above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.
8. Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures. n accordance with the decisions and directives of UNDP's Executive Board: The contribution shall be charged:
9. [...%] cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices
10. Direct cost for implementation support services (ISS) provided by UNDP and/or an executing entity/implementing partner.
11. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.
12. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.”

X. ANNEX

Annex 1: Gender Perspective

1. Background

China is the most populous developing country in the world with women accounting for about half of the total population of 1.3 billion. Gender equality is a basic national policy of China. The efforts to improve the status of women and promote gender equality are reflected in comprehensive planning and social security policies. The "China's 21st Century Agenda-White Paper" (GFA (1994) No. 37) has a comprehensive plan to protect the rights of women and vulnerable groups. In order to ensure women's participation in sustainable development, many actions have been taken in such aspects: implementing women's legal rights of education and participation in decision-making, providing employment opportunities to improve women's economic status in rural areas, and encouraging women to participate in the protection, development and utilization of water, soil, and other resources. In addition, the "China's 21st Century Agenda Priority Project Plan" takes the "Rural Women's Participation in Sustainable Development Capacity Building in the Five Northwestern Provinces" as the sixth major priority project. Since the World Conference on Women was given in 1995 at Beijing, the Chinese government has continuously formulated and implemented a series of programs for the development of Chinese women in order to achieve the goals of Beijing Declaration and the Platform for Action. These programs include: "The Program for the Development of Chinese Women (1995-2000), (2000-2010), and (2011-2020)". Among the main objectives and strategic measures in the six priority development areas, it is clearly mentioned to: (1) Comprehensively solve the problem of rural drinking water safety and reduce the harm of water pollution to women's health; (2) Increase rural women's economic income, carry out practical technical trainings and vocational skills trainings that are convenient for rural women to attend, and help rural women who are left-behind and return-home to start businesses in various forms; (3) Fully reflect the principle of gender equality in related policies on environment and development, culture and media, social management, and family.

Over the past 20 years, it has made significant progress in promoting gender equality and women's development through continuous improvement of policies and regulations, formulation of public policies, and preparation of development plans. Related data shows that the poverty level of rural women has been significantly reduced. According to the rural poverty standard of ¥2,300 per person a year (at 2010 prices), the country's rural poverty population at the end of 2019 was 5.51 million, which was 160 million fewer than that in 2010 with women accounting for about half of them. The incidence of poverty in 2019 was 0.6%, 16.6% lower than that of in 2010, and there was no significant gender difference in the incidence of poverty. Women's participation in community-level democratic management has been more extensive. In 2019, 11.9% of heads of village committees were women, which was 0.8% higher than the last year⁹. Since the implementation of the "Three-Year Action Plan for the Improvement of Rural Human Settlement Environment" in 2018, the environmental and health awareness of villagers has been continuously enhanced, and the environment has become cleaner and tidier. In 2019, 87% of rural population benefited from centralized water supply, which increased 29% over 2010 (Figure 1). At the same time, as a developing country with the largest population in the world,

⁹ National Bureau of Statistics of China, Report on the main data of the third survey of Chinese women's social status, 2021.

China still confronts with many new situations and challenges in the development of women empower, especially in rural areas, due to effects of many factors, such as economic and social development levels, history, and culture. A survey shows that the average education years of rural women in central and western China is 5.4 years. This is 3.1 years lower than that of women in Beijing, Tianjin and Shanghai, and 1.4 years lower than that of men in the eastern region. The education and health conditions of rural women in central and western China need to be improved. Women's labor income is relatively low, and there is relatively large gap in labor income between male and female¹⁰. In 2019, the proportion of women in village committee members was 23.8%, and the proportion of women among village committee directors was unevenly developed among regions (Figure 2). The level of rural women's participation in decision-making and management needs to be improved. In 2019, the proportion of women in village committee members was 23.8%, and the proportion of women as village committee directors was unevenly developed among regions (Figure 2). The level of rural women's participation in decision-making and management needs to be improved.

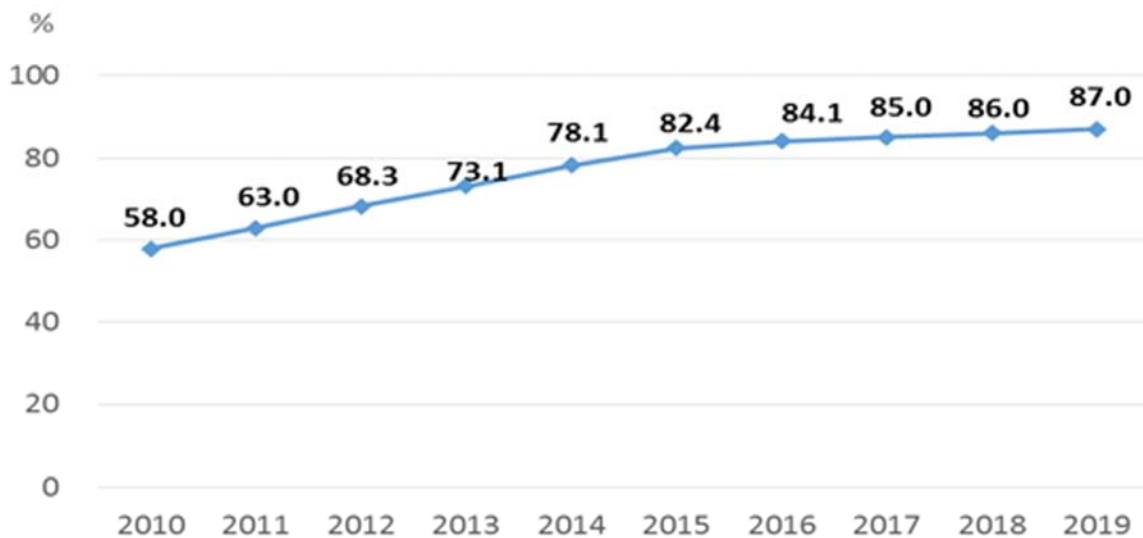


Figure 1. Proportion of rural population benefiting from centralized water supply in China from 2010 to 2019.

¹⁰ National Bureau of Statistics of China, Report on the main data of the third survey of Chinese women's social status, 2021.

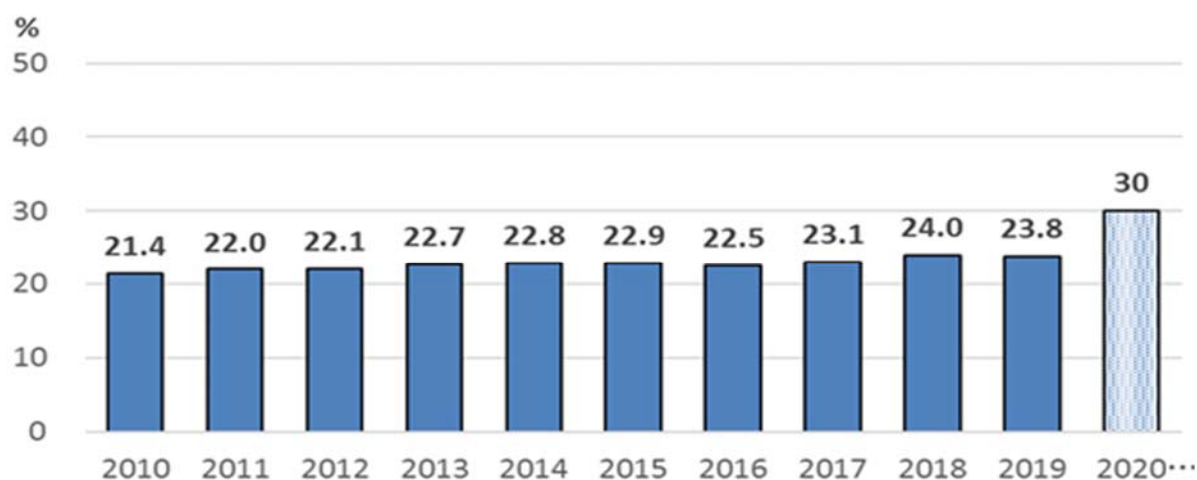


Figure 2. The proportion of women among village committee members from 2010 to 2019.

2. Major challenge from gender perspective

As China has achieved comprehensive victory in the battle against poverty, it is about to complete the goal of building a moderately prosperous society in all respects and embark on a new stage of development to realize the second centenary goal. The work related to agriculture, rural areas, and farmers has been comprehensively transformed into the strategy of promoting rural revitalization. The scientific protection, controlled development, rational distribution, and efficient utilization of water resources are closely related to realizing agricultural modernization in rural areas, increasing farmers' income, improving the ecological environment and the overall quality of production.

Experience has shown that women are main beneficiary in rural water management. Women are the main suppliers of domestic water and play an important role in agricultural production. They also play a key role in water conservation, rainwater harvesting and watershed management. According to the questionnaire survey conducted by the All-China Women's Federation among 10,000 rural women in Hebei, Jilin, Jiangsu, Zhejiang, Jiangxi, Henan, Hunan, Sichuan, Yunnan and Gansu provinces from March to June 2006, it was shown that 74.7% of women participated in productive labor for agricultural production. Therefore, in agricultural production and life, women are not only important decision makers, but also the main undertaker of housework. They play important roles in the supply and utilization of water resources, and the protection of environment¹¹. Therefore, it is of great significance to incorporate the gender perspective into the system of rural water resources development and management. However, related surveys found that the proportion of rural women participating in water resources management was relatively low, and they faced many challenges in the process. First of all, although women are important participants in activities of rural production irrigation and other water resource utilization, their rights to the possession, management, utilization and control of

¹¹ Ndey-Isatou Njie and Tacko Ndiaye, Women and agricultural water resource management <https://www.un.org/en/chronicle/article/women-and-agricultural-water-resource-management>

water resources are marginalized. Surveys show that in irrigation management organizations in more than 30 provinces and cities, the proportion of women participating in association management and related activities is very small. A recent survey found that among the 1,151 workers of 236 farmer water user associations in Ganzhou District, Zhangye City, Gansu Province, only 0.6% of them were women¹². Secondly, the awareness of the gender perspective in water resource management is lacking in the society, and it is generally believed that there is no relationship between water resource management and gender equality. In the process of women participation in water resources management, a study found that 80% of women thought that if given the opportunity, they would like to participate in association management, and could be competent in the management. However, in some parts of China, rural water user associations often regard the head of each household as the registered member without considering the actual division of labor in agricultural production and irrigation activities. As a result, rural women lack the opportunity to participate in the Water Management Association, let alone to demonstrate their abilities in water management and leadership¹³. On the other hand, women are more likely to be limited by their levels of technology and knowledge during participating in agricultural water management. Related study found that in the four major factors (education level, health condition, family size, and age) that affected women's participation in water management, 31% of women said that low education level hindered seriously their effective participation in water resource management. The increase in each education level will promote the probability of willingness to participate by 4.36%¹⁴.

3. Intervention strategy

Combining the above-mentioned challenges, this project will actively promote women to play a greater role in water resources management from the following aspects.

- Increasing women's access to economic activity through a series of demonstration projects in the water-related field that focus on water safety for women.
- Empowering women in water resource management at village level, watershed level and inter-provincial watershed level through the establishment of SDG evaluation index system. It will help women improve their technical capability and knowledge of water resources management, and enhance their willingness and confidence to participate in primary level management, which will increase the proportion of women participating in related management activities.
- Establishing and improving the gender management mechanism, providing trainings of gender mainstreaming project management for project managers, to ensure that project personnel at all levels understand the basic concepts of gender and recognize the importance of women's participation in water resources management. It will promote the implementation of projects with consideration of potential gender equality factors. Creating a favorable environment for women's participation in

¹² Gaozhou Water Agency, China. <http://www.zygzsw.cn/>

¹³ Hulin Pan, Performance evaluation and influencing factors of integrated water resources management in arid area: a case study of water resources management in Ganzhou district, Northwest Normal University, 2009.

¹⁴ Lingxia Guo, Integrated gender equality and women's participation in water resource management, Northwest Normal University, 2008.

project activities to inspire women's confidence and determination to participate in water resources management.

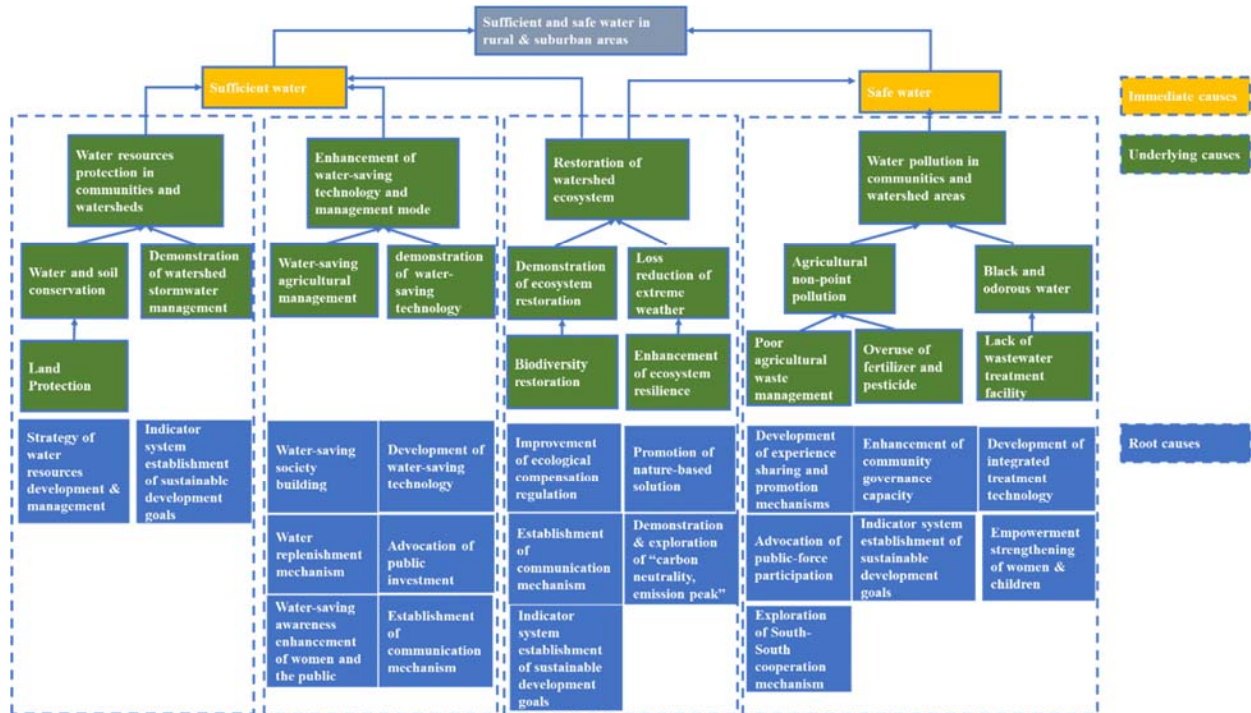


Figure 2. The solution tree and gender perspective of theory of change

Table of action plan

Output 1: Achieve effective protection and utilization of water resources, improvement of water ecology and drinking water safety conditions, and effective prevention and control of water pollution in demonstration areas represented by rural areas and key river basins, through technology-leading demonstration, mechanism and system innovation, capacity building, and publicity. Achieve a coordinated development of water-related economy and ecological environment.

- Activity 1.1. Support the implementation of projects for effective protection and utilization of water resources, especially the themes of water source protection, soil erosion prevention, efficient water-saving agriculture and water-saving society construction. Strengthen the public awareness of water conservation and protection, particularly for women and families.
- Activity 1.3. Support the implementation of projects for water pollution prevention and control, especially the projects about prevention and control of point source and non-point source pollution in rural and urban areas, improvement of drinking water quality and sanitation and health conditions. Encourage women to participate in these projects in rural areas.

Action	Indicator	Objective	Baseline	Responsible party	Time	Budget
Action 1: Ensure equal participation of women in the effective protection of water resources and utilization of environment-themed activities under	– Proportion of women participating in related activities	– Achieving at least 50% of participation by women	– 0	Third-party accounting	2030	No additional budget

the project.						
Action 2: Ensure equal participation of women in the prevention and control of pollution from point and non-point sources in rural and urban areas, as well as in the improvement of drinking water quality and sanitation conditions under water pollution prevention and control projects.	- Proportion of women participating in related activities	- Achieving at least 50% of participation by women	- 0	Third-party accounting	2030	No additional budget
Action 3: Provide gender equity training for management members of subprojects.	- Number of activities - Number of participants	- Once per year - At least one person of Project Office to participate in	- 0 - 0	Third-party accounting	2030	Tentative
Action 4: Provide women with technical and management trainings related to water resources and increase the proportion of women in employment.	- Number of training - Female employment rate	- Once per year - 48.5%	- 0 - 45%	Third-party accounting		
<p>Output 2: Promote the localization of United Nations 2030 Sustainable Development Goals. Effectively collect and refine management mechanisms, methods, and practices reflecting the characteristics of the basin at different levels. Implement cross-field exploration and improve the collaboration level of co-consultation, co-construction and co-management among governments, communities, scientific research institutions, and enterprises.</p> <ul style="list-style-type: none"> Activity 2.3. Encourage social forces represented by communities to participate in water conservancy activities. Mobilize and cultivate forces of community and society including women as a focus through capacity building. Construct a mechanism for joint consultation, joint construction and joint management by multi-parties. 						
Action 1: Ensure that women have equal opportunities to participate in consultations, decision-making and management matters related to community water management.	- Proportion of female management in primary-level organizations	- Achieve at least 50% of managers who are female	- 0	Third-party accounting	2030	No additional budget
Action 2: Encourage Project offices to work with local women's organizations on capacity building activities	- Number of women's organizations that can be mobilized and cooperated	- 5	- 0	Third-party accounting	2030	No additional budget
Action 3: Include the relevant indicators of gender equality in the evaluation index system of the localization of sustainable water-related goals.	- Number of index systems - Times TO apply and promote indicators	- 5 - 3	- 0 - 0	Third-party accounting	2030	Tentative

<p>Output 3: Effectively disseminate China’s water governance wisdom through promoting South-South cooperation in water-related fields. Enrich water-based cooperation channels between China and other developing countries.</p> <ul style="list-style-type: none"> Activity 3.2. Support the implementation of capacity building and talent training activities for developing countries, especially in the regions of Lancang-Mekong, Central Asia (Members of Shanghai Cooperation Organization), and Africa. Women will be given priority. 									
Action 1: Ensure that women have equal opportunities to participate in international conferences and personnel development activities.	-	Proportion of women participating in related activities	-	30%	-	0	Third-party accounting	2030	No additional budget

Annex 2: Project Quality Assurance Report

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 Principled 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								
<ul style="list-style-type: none"> ● APPROVE – the project is of sufficient quality to be approved in its current form. 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								
For all questions, select the option that best reflects the project								
STRATEGIC								
1. Does the project specify how it will contribute to higher level change through linkage to the programme’s Theory of Change? <ul style="list-style-type: none"> ● 3: The project is clearly linked to the programme’s theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project’s strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks. ● 2: The project is clearly linked to the programme’s theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change. ● 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme’s theory of change. <p><i>*Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.</i></p>				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3√</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> </table>	3√	2	1	
3√	2							
1								
Evidence: The project strategy and objectives are consistent with China’s 14th Five-Year Plan and the Long-Range Objectives Through the Year 2035, the 2030 Agenda for Sustainable Development, the United Nations Development Programme’s Country Program for China (2021-2025) and the Coca-Cola 2030 Water Strategy in China, and are in line with China’s priorities for development in the water sector. The document summarizes the preliminary results of the project, accurately analyses the development challenges, comprehensively sets the strategic goals, expected results, and outputs/activities to achieve the project results. The project preparation work also includes carrying out a risk assessment and proposing corresponding mitigation measures				Evidence				

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL		
<p>2. the project aligned with the UNDP Strategic Plan?</p> <ul style="list-style-type: none"> • 3: The project responds to at least one of the development settings as specified in the Strategic Plan¹⁵ and adapts at least one Signature Solution¹⁶. The project's RRF includes all the relevant SP output indicators. <i>(all must be true)</i> • 2: The project responds to at least one of the development settings as specified in the Strategic Plan⁴. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true)</i> • 1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF. 	3√	2
	1	
	Evidence	
<p>Evidence: The project supports the implementation of the Sustainable Development Goals, including Goal 1: No Poverty - End poverty in all its forms everywhere, Goal 2: Zero Hunger- End hunger, achieve food security and improved nutrition and promote sustainable agriculture, Goal 5: Gender Equality- Achieve gender equality and empower all women and girls, Goal 6: Clean Water and Sanitation- Ensure availability and sustainable management of water and sanitation for all, Goal 13: Climate Action-Take urgent action to combat climate change and its impacts, Goal 16 Peace, Justice and Strong Institutions - Improve the governance capacity of rural communities, and Goal 17 Partnerships for the Goals - Strengthen the means of implementation and revitalize the global partnership for sustainable development; Contributes to United Nations Sustainable Development Cooperation Framework with People's Republic of China (2021-2025), such as Outcome 3: People in China and the region benefit from a healthier and more resilient environment; Contributes to United Nations Country Programme Document for China (2021-2025), such as Outcome 2: Accelerate structural transformations for sustainable development.</p>		
<p>3. the project linked to the programme outputs? (i.e., UNDAF Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)</p>	Yes√	No
RELEVANT		
<p>4. Does the project target groups left furthest behind?</p> <ul style="list-style-type: none"> • 3: The target groups are clearly specified, prioritising discriminated and marginalized groups left furthest behind, identified through a rigorous process based on evidence. • 2: The target groups are clearly specified, prioritizing groups left furthest behind. • 1: The target groups are not clearly specified. <p>*Note: Management Action must be taken for a score of 1. <i>Projects that build institutional capacity should still identify targeted groups to justify support</i></p>	3√	2
	1	
	Evidence	
<p>Evidence: The project aims to mobilize the public and communities with women as the key group to support effective water resources protection, water ecological restoration and water pollution prevention and control activities by providing technology demonstration, mechanism innovation, capacity building, publicity and promotion. The main stakeholders involved in the whole cycle of project initiation, implementation and evaluation, including government agencies, the private sector and local communities, work closely together to focus on gender equality and women's rights. Representatives of major stakeholders will also participate in the project board to ensure the direction of project implementation and the participation of substantial stakeholders in project implementation.</p>		

¹⁵ The three development settings in UNDP's 2018-2021 Strategic Plan are: a) Eradicate poverty in all its forms and dimensions; b) Accelerate structural transformations for sustainable development; and c) Build resilience to shocks and crises

¹⁶ The six Signature Solutions of UNDP's 2018-2021 Strategic Plan are: a) Keeping people out of poverty; b) Strengthen effective, inclusive and accountable governance; c) Enhance national prevention and recovery capacities for resilient societies; d) Promote nature based solutions for a sustainable planet; e) Close the energy gap; and f) Strengthen gender equality and the empowerment of women and girls.

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL		
<p>5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?</p> <ul style="list-style-type: none"> 3: Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project. 2: The project design mentions knowledge and lessons learned backed by evidence/sources, but have not been used to justify the approach selected. 1: There is little or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3√	2
	1	
	Evidence	
<p>Evidence: The project design is carried out based on the experience and lessons of UNDP and other parties, such as: UNDP China Rugao Hydrogen Energy Economic Pilot Project, EU-China Environmental Governance Project, United Nations Green Economy Partnership (China). The proposed project model and method have been implemented by UNDP China and CICETE, and it has been proven to be an effective and efficient project model.</p>		
<p>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national/regional/global partners and other actors?</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, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (<i>all must be true</i>) 2: Some analysis has been conducted on the role of other partners in the area 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, with unclear funding and communications strategies or plans. 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. 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>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2√
	1	
	Evidence	
<p>Evidence: The project is obviously conducive to UNDP in attracting relevant stakeholders in the field of environmental governance and sustainable development, and promoting sustainable development, including promoting environmental sustainability and accelerating progress in the field of climate change and sustainable development. This is essential to achieve the expected results of project implementation, and it will also ensure project results and impact at the global level. UNDP can also help pilots refine their best practices and promote them among national, regional and international development partners. Convening capabilities and global influence are also UNDP's unique advantages.</p>		
PRINCIPLED		
<p>7. Does the project apply a human rights-based approach?</p> <ul style="list-style-type: none"> 3: The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. 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</i>) 2: The project is guided by human rights by prioritizing accountability, meaningful 	3	2√
	1	
	Evidence	

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL		
<p>participation and non-discrimination. 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. <i>(both must be true)</i></p> <ul style="list-style-type: none"> • 1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered. <p>*Note: Management action or strong management justification must be given for a score of 1</p>		
Evidence: The project focuses on the contribution to the further realization of human rights, which is reflected in policy formulation and law enforcement to enhance integrated water resources management and improve environmental sustainability. This project promotes the improvement of rural and community environments. The detailed design of all project activities, especially gender equality, provides relevant project managers with relevant training on gender mainstreaming project management. Incorporate gender equality indicators into the measurement indicator system of the main project activities to ensure that women can participate in the project activities equally and benefit from it.		
<p>8. Does the project use gender analysis in the project design?</p> <ul style="list-style-type: none"> • 3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. <i>(all must be true)</i> • 2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. <i>(all must be true)</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 gender inequalities have not been clearly identified and reflected in the project document. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2√
	1	
Evidence: Gender mainstreaming has been incorporated into the design results, outputs, detailed activities and project implementation management arrangements. The gender analysis and expected results have been described in the Change Theory and Results Framework sections.		
<p>9. Did the project support the resilience and sustainability of societies and/or ecosystems?</p> <ul style="list-style-type: none"> • 3: Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and 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)</i>. • 2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. <i>(both must be true)</i> • 1: Sustainability and resilience dimensions and impacts were not adequately considered. <p>*Note: Management action or strong management justification must be given for a score of 1</p>	3√	2
	1	
Evidence: Improving the comprehensive governance of water resource in China and enhancing the sustainability of the water environment are the main goals of the project. These goals will facilitate the implementation of key water-related strategies in China’s new development stage through the implementation of management technology innovation and pilot demonstrations, community participation and women’s empowerment, policy advocacy and capacity building, and achievement sharing and promotion, and promote the achievement of the related goals in		

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL		
United Nations' 2030 Agenda for Sustainable Development.		
10. 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.]	Yes√	No
	SESP Not Required	
Evidence: Social and environmental standards and screening were carried out during the project design stage. The evaluation shows that the social and environmental impact of the project is positive. Estimated potential risks and mitigation measures. Detailed information can be found in the risk log index in Annex 4 of the project document.		
MANAGEMENT & MONITORING		
11. Does the project have a strong results framework? <ul style="list-style-type: none"> • 3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. <i>(all must be true)</i> • 2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. <i>(all must be true)</i> • 1: The project's selection of outputs and activities are not at an appropriate level; 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. <i>(if any is true)</i> *Note: Management Action or strong management justification must be given for a score of 1	3√	2
	1	
Evidence		
Evidence: The results framework and planned output of the project are supported by SMART indicators.		
12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board? <ul style="list-style-type: none"> • 3: The project's governance mechanism is fully defined. 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)</i>. • 2: The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true)</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. 	3√	2
	1	
Evidence		

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL		
*Note: Management Action or strong management justification must be given for a score of 1		
Evidence: Water Governance Programme adopts the decision-making mechanism of the project board composed of UNDP, CICETE and Coca-Cola. Two-level implementation management structure is composed of NPMO and LPMOs. (The “project management” part of the project document clearly points out the governance structure of the project, the specific composition of the project board, and the roles and responsibilities of various stakeholders.)		
13. Have the project risks been identified with clear plans stated to manage and mitigate each risk? <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 programme’s theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders. Clear and complete plan in place to manage and mitigate each risk, reflected in project budgeting and monitoring plans. <i>(both must be true)</i> • 2: Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk. • 1: Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and/or no initial risk log is included with the project document. 	3√	2
		1
Evidence		
*Note: Management Action must be taken for a score of 1		
Evidence: Screening of social and environmental standards has been carried out during the project design stage. The evaluation shows that the social and environmental impacts of the project are positive. Potential risks are identified and can be indexed in the risk log in Annex 4 of the project file.		
EFFICIENT		
14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example: 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; iv) sharing resources or coordinating delivery with other projects, v) using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions. <p><i>(Note: Evidence of at least one measure must be provided to answer yes for this question)</i></p>	Yes (3)√	No (1)
	Evidence: Share resources with partners’ projects to coordinate outputs; use network technology to manage project reports, conduct conference exchanges, and reduce text and travel costs	
15. Is the budget justified and supported with valid estimates?	3√	2
	1	

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL		
<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. Realistic resource mobilisation plans are in place to fill unfunded components. 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. Adequate costs for monitoring, evaluation, communications and security have been incorporated. • 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, but no funding plan is in place. 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. 	Evidence	
Evidence: The project budget has been refined in the multi-year work plan, and reasonably allocated according to the expected activities. The project will be open to other entities and funding supporters who are interested in participating in the project to expand the scope of the project and its impact.		
16. Is the Country Office/Regional Hub/Global Project fully recovering the costs involved with project implementation? <ul style="list-style-type: none"> • 3: The budget fully covers all project costs that are 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 project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. • 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project. <p>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</p>	3	2
	1	
	Evidence	
N/A		
EFFECTIVE		
17. Have targeted groups been engaged in the design of the project? <ul style="list-style-type: none"> • 3: Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.) • 2: Some evidence that key targeted groups have been consulted in the design of the project. • 1: No evidence of engagement with targeted groups during project design. 	3√	2
	1	
	Evidence	
Evidence: The design of the project will be determined based on close consultation with stakeholders at all levels. Through a series of interviews, consultations, high-level meetings and insightful participation, the views, needs and constraints of stakeholders have been fully reflected in the project design. The project will carry out key activities to solve the problems of sustainable development in the water-related field.		
18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?	Yes (3)√	No (1)
Evidence: Refer to Chapter VI Project Monitoring and Evaluation.		

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL		
<p>19. 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>*Note: Management Action or strong management justification must be given for a score of “no”</p>	Yes (3) [√]	No (1)
Evidence		
<p>Evidence: A large proportion of women participants will be included in the implementation and management of the program. Therefore, the participation of women as mentors, trainees and managers will be emphasized. Promote women’s participation in water resources management policies and activities designation, establish and improve project operating mechanisms, and create opportunities for women’s participation; strengthen women’s knowledge of water resources management, increase women’s awareness of water environmental protection, and provide capacity building support for women’s participation; establish contact with local women’s federations and other women’s organizations to provide guidance and organizational guarantees for women’s participation; provide relevant project managers with training on gender mainstreaming project management, and strengthen the awareness of gender equality in project offices. The indicators related to gender equality are incorporated into the measurement indicator system of the main activities of the project to ensure that women can participate in the project activities equally and benefit from them.</p>		
SUSTAINABILITY & NATIONAL OWNERSHIP		
<p>20. Have national/regional/global partners led, or proactively engaged in, the design of the project?</p> <ul style="list-style-type: none"> • 3: National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP. • 2: The project has been developed by UNDP in close consultation with national/regional/global partners. • 1: The project has been developed by UNDP with limited or no engagement with national partners. 	3 1 [√]	2
Evidence		
<p>Evidence: The project is a national level project. The project strategy and expected results will give priority to national policies. The project will improve the ability of local partners to implement national policies, and the results of the project will provide national policy priorities with information.</p>		
<p>21. Are key institutions and systems identified, and is there a strategy for strengthening specific/comprehensive capacities based on capacity assessments conducted?</p> <ul style="list-style-type: none"> • 3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. • 2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment. • 1: Capacity assessments have not been carried out. 	3 [√]	2
Evidence		
<p>Evidence: The project conducted a stakeholder analysis and identified the strengths and weaknesses of the main stakeholders in the environmental and socio-economic development sectors, who will directly participate in the project implementation. These stakeholders include government agencies, non-governmental organization and private sectors. In order to supplement the institutional analysis, a policy process assessment and a capacity assessment were also carried out, thereby conducting a comprehensive capacity building needs assessment. As a result of these assessments, the policy strengthening part aims to solve various challenges of environment, climate and sustainable development process.</p>		
<p>22. 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?</p>	Yes (3) [√]	No (1)
<p>Evidence: The project will be implemented using the National Implementation Model (NIM) and will be implemented directly by CICETE. The UNDP and the CICETE have more than 30 years of cooperation experience</p>		

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

in the field of sustainable development in China, and have established a strong national implementation model and corresponding rules and regulations. This will provide an effective system guarantee for the smooth, effective and compliant implementation of the project, and will provide reference experience to implement international cooperation projects. Based on the above analyses, the cooperation relationship of this project is solid and effective.

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

Yes
(3)√

No
(1)

Evidence: The project's strategic goal fully combines China's 14th Five-Year Plan and the Long-Range Objectives Through the Year 2035, the 2030 Agenda for Sustainable Development, the United Nations Development Programme's Country Program Document for China (2021-2025) and the Coca-Cola 2030 Water Strategy. The project strategies 2.2.1., 2.2.2., 2.2.3., 2.2.4., and 2.2.5. elaborate in detail on the sustainability of project results, and strategies and arrangements for replication, promotion, publicity and dissemination.

ANNEX 3 SOCIAL AND ENVIRONMENTAL SCREENING REPORT

Project Information

Project Information	
1. Project Title	Water Resources Management Plan in Cooperation between China and United Nations Development Programme
2. Project Number (i.e. Atlas project ID)	
3. Location (Global/Region/Country)	Asia/China
4. Project stage (Design or Implementation)	Design
5. Date	May 10, 2021

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

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

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

The project will mainstream the human rights-based approach. The goals of the project include improving water environment, ensuring drinking water safety, and promoting the development of sustainable agriculture, as well as empowering women and girls. The Water Governance Programme will focus on improving and strengthening community participation. In detail, public powers, such as village committees, professional associations, community organizations, and volunteer groups, will be encouraged to play their roles in various stages of the project implementation, including demand identification, planning, implementation, management, performance evaluation, promotion, operation, and maintenance management, and so on. The Water Governance Programme will cooperate with governments and social management research institutes to cultivate participation capacities of the aforementioned public powers efficiently through improving the principles of extensive consultation, joint contribution, and shared benefits. In addition, this project will fully consider the realization of human rights during the project implementation.

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

The project will provide organization support for encouraging women to participate in policy formulation of water resources management through establishing contacts with local women's organizations, such as women's associations; improve the project's operating mechanism for creating opportunities for women's participation; and strengthen women's knowledges of water resources management for enhancing their awareness of water environmental protection and supporting the capacity building of women's participation. Meanwhile, the project will also provide desired training on gender mainstreaming project management for relevant project management staffs to enhance their gender equality awareness. In addition, the project will further incorporate the relevant indicators of gender equality into the project evaluation index system to ensure that women can participate in the project activities equally and benefit from them.

Briefly describe in the space below how the project mainstreams sustainability and resilience

The project will provide technical and financial support for rural governments and farmers, especially women and children, to improve their capabilities through training activities. Meanwhile, the project will improve the water environment, strengthen drinking-water safety, and enhance sustainable agricultural development to increase farmers' income, improve farmers' life quality, guarantee farmers' health; as well as protect the rights and interests of women and children through training and public participation. In addition, tourists and government officers will experience the outcomes of this project through visiting the demonstration sites. These demonstration sites will help promote the project and attract more governments to participate in this project positively. Besides, the international influence of the project will be further expanded through international conferences and forums, and international institutions and governments will be attracted to participate in the project.

Briefly describe in the space below how the project strengthens accountability to stakeholders

The project will provide technical and financial support for rural governments and farmers, especially women and children, to improve their capabilities through training activities. Meanwhile, the project will improve the water environment, strengthen drinking-water safety, and enhance sustainable agricultural development to increase farmers' income, improve farmers' life quality, guarantee farmers' health; as well as protect the rights and interests of women and children through training and public participation. In addition, tourists and government officers will experience the outcomes of this project through visiting the demonstration sites. These demonstration sites will help promote the project and attract more governments to participate in this project positively. Besides, the international influence of the project will be further expanded through international conferences and forums, and international institutions and governments will be attracted to participate in the project.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
<i>Risk Description (broken down by event, cause, impact)</i>	<i>Impact and Likelihood (1-5)</i>	<i>Significance (Low, Moderate, Substantial, High)</i>	<i>Comments (optional)</i>	<i>Description of assessment and management measures for risks rated as Moderate, Substantial or High</i>
Risk 1: Elements of the project construction, operation or completion may pose potential safety risks to local communities	I = 2 L = 2	Low		
Risk 2: Project delay caused by COVID-19	I = 4	Low		

	L = 1			
Risk 3: Elements of the project implementation may have adverse impacts to habitats, and/or ecosystems and ecosystem services	I = 4 L = 1	Low		
Risk 4: Carrying out activities in key habitats or environmentally sensitive areas or adjacent areas will adversely affect the habitat or ecosystem	I = 3 L = 2	Low		
Risk 5: Elements of the project implementation process may have adverse effects on the soil	I = 2 L = 2	Low		
Risk 6: The project implementation may involve in harvesting of natural forests, plantation development, or reforestation, which will adversely affect the natural ecosystem	I = 1 L = 3	Low		
Risk 7: Elements of the project construction and operation may cause the diversion or blockage of surface water or groundwater	I = 3 L = 1	Low		
Risk 8: Changes the use of land and resources use may adversely affect habitats, ecosystems and/or livelihoods	I = 2 L = 2	Low		
Risk 9: The project implementation may reduce and occupy the habitats of endangered species, posing a threat to their survival	I = 3 L = 1	Low		
[add additional rows as needed]				
	QUESTION 4: What is the overall project risk categorization?			
	<i>Low Risk</i>	<input checked="" type="checkbox"/>		
	<i>Moderate Risk</i>	<input type="checkbox"/>		
<i>Substantial Risk</i>	<input type="checkbox"/>			

	High Risk	<input type="checkbox"/>	
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)			
Question only required for Moderate, Substantial and High Risk projects			
<i>Is assessment required? (check if “yes”)</i>	<input type="checkbox"/>		<i>Status? (completed, planned)</i>
<i>if yes, indicate overall type and status</i>	<input type="checkbox"/>	Targeted assessment(s)	
	<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	
	<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	
<i>Are management plans required? (check if “yes”)</i>	<input type="checkbox"/>		
<i>If yes, indicate overall type</i>	<input type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	
	<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
	<input type="checkbox"/>	ESMF (Environmental and Social Management Framework)	
<i>Based on identified risks, which Principles/Project-level Standards triggered?</i>		Comments (not required)	
<i>Overarching Principle: Leave No One Behind</i>			
<i>Human Rights</i>	<input type="checkbox"/>		
<i>Gender Equality and Women’s Empowerment</i>	<input type="checkbox"/>		
<i>Accountability</i>	<input type="checkbox"/>		
<i>1. Biodiversity Conservation and Sustainable Natural Resource Management</i>	<input type="checkbox"/>		
<i>2. Climate Change and Disaster Risks</i>	<input type="checkbox"/>		
<i>3. Community Health, Safety and Security</i>	<input type="checkbox"/>		

	4. Cultural Heritage	<input type="checkbox"/>	
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input type="checkbox"/>	
	7. Labour and Working Conditions	<input type="checkbox"/>	
	8. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

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

Annex 4 Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind Human Rights		Answer (Yes/No)
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	No
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? ¹⁷	No
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Gender Equality and Women’s Empowerment		
P.8	Have women’s groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	No
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
P.11	limitations on women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household</i>	No

¹⁷ Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

<i>power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below	
Accountability	
<i>Would the project potentially involve or lead to:</i>	
P.13 exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	No
P.14 grievances or objections from potentially affected stakeholders?	No
P.15 risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
Project-Level Standards	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
<i>Would the project potentially involve or lead to:</i>	
1.1 adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	Yes
1.2 activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3 changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes
1.4 risks to endangered species (e.g. reduction, encroachment on habitat)?	Yes
1.5 exacerbation of illegal wildlife trade?	No
1.6 introduction of invasive alien species?	No
1.7 adverse impacts on soils?	Yes
1.8 harvesting of natural forests, plantation development, or reforestation?	Yes
1.9 significant agricultural production?	No
1.10 animal husbandry or harvesting of fish populations or other aquatic species?	No
1.11 significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	Yes
1.12 handling or utilization of genetically modified organisms/living modified organisms? ¹⁸	No
1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ¹⁹	No

¹⁸ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

¹⁹ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

1.14	adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	No
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	No
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7	influx of project workers to project areas?	No
3.8	engagement of security personnel to protect facilities and property or to support project activities?	No
Standard 4: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	No
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No

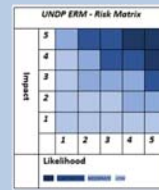
4.4	alterations to landscapes and natural features with cultural significance?	No
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	risk of forced evictions? ²⁰	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	No
6.2	activities located on lands and territories claimed by indigenous peoples?	No
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to screening question 6.3 is “yes”, then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk</i>	No
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	No
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	No

²⁰ Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	No
Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
8.2	the generation of waste (both hazardous and non-hazardous)?	No
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	No
8.5	the application of pesticides that may have a negative effect on the environment or human health?	No
8.6	significant consumption of raw materials, energy, and/or water?	No

Annex 5 Project Risk Register

Project Title: Programme				Project Number: 127579		Date: 20210510		
#	Event	Cause	Impact(s)	Risk Category	Impact and Likelihood = Risk Level	Risk Treatment / Management Measures	Risk Owner	Risk Valid From/To
	Enter a brief description of the potential future event. The occurrence or change of a particular set of circumstances. An event can be one or more occurrences, can have several causes, and can consist of something not happening.	Enter a brief description of what could cause the potential event.	Enter brief description of the potential impact of the event. The totality of all effects of an event affecting objectives.	Social and Environmental Financial Operational Organizational Political Regulatory Strategic Safety and Security Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information) <i>(In Atlas, select from list)</i>	Describe the potential effect on the project if the future event were to occur. Enter likelihood based on 1-5 scale (1 = Not likely; 5 = Expected) Enter impact based on 1-5 scale (1 = Negligible; 5 = Extreme) Based on Likelihood and Impact, use the Risk Matrix to identify the Risk Level (High, Substantial, Moderate or Low)	What actions have been taken/will be taken to manage this risk. Who is responsible for treatment and status of treatment. Each risk can have multiple treatment measures. <i>(in Atlas, use the "Treatment(s)" box. This field can be modified at any time. Create separate boxes as necessary using "+", for instance to add additional treatment measures.</i>	The person or entity with the responsibility to manage the risk.	<i>Enter dates for when the risk is valid. Update as needed.</i>
1	Project delay may be caused by the Covid-19 epidemic	Unpredictable outbreak of the Covid-19 epidemic	The suspension of in-person activities, such as investigations, construction, and seminars, may be caused by anti-epidemic measures.	Social and Environmental	Text Project delay P =1 I = 4	-A data management platform has been established to manage project reports through the network; - Communication, seminars and assessment will conducted through remote meeting	Project manager	20210510



2	Elements of project construction, operation or completion may pose potential safety risks to local communities	Shortcomings in project design and management stages	-Shortcomings in design stage will cause the consumption of cost and resource. -Shortcomings in management stage will affect outcomes of the project	Operational	Text Performance of outcomes may be impacted P =2 I = 2	- Evaluating and reviewing the project design plan through technical supports of the consulting expert team - Supervising the operation and management of the constructed project depending on the local government	Project manager	20210510
3	Project may delay, even fail to achieve the desired outcomes due to insufficient management capabilities	Insufficient management capabilities	Project may delay, even fail to achieve the desired outcomes	Operational	Text Project delay, even fail to achieve the desired outcomes P =1 I = 3	-Providing continuous project management training by Programme office; -Optimizing the functions of the project steering committee, establishing a project technical advisory committee, and strengthening the technical support of the project.	Project manager	20210510
4	Abuse of the project brand for profit or other purposes by the partners, leading to reputational risks of the United Nations Development Programme	The partners abuse the project brand for profit or other purposes	Reputational risks of the United Nations Development Programme	Regulatory	Text Reputational risks of the United Nations Development Programme P =1 I = 4	- Implementing UN due diligence and brand requirements Strictly to mitigate potential risks; -Maintaining regular communication with partners to ensure that the project implementation complies with all the rules of the United Nations Development Program.	Project manager	20210510
5	May not receive the funds agreed upon in accordance with the annual work	The apportioned funds may not be paid in time	Project delay	Financial	Text Project delay P =1 I = 3	-The annual work plan will be jointly formulated by the UNDP, CICETE, local governments and the NPMO to ensure that the required funds will be paid in time; -For government cost-sharing	Project manager	20210510

	plan					<p>funds, the local government will ensure that funds are provided in a timely manner, and the government will maintain communication with UNDP and report potential problems.</p> <p>-The annual financial report needs to be submitted to the UNDP and NPMO to ensure stable cash flow in the private sector.</p>		
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Annex 6 Terms of Reference (TOR)

Position:	Programme Director
Location:	Beijing and other places, according to work arrangements.
Working Time:	No less than 10 working days
Duty and Responsibility:	<ol style="list-style-type: none">1. Lead the Programme Office, improve and strengthen the standardized management system of the Programme Office, organize the formulation of the AWP of the programme, and guide and monitor each project office to compile and submit the project work plan.2. Coordinate and monitor the implementation management work of the Project Office, promote the implementation management tasks undertaken by the Programme Office, ensure that all work at the programme and project levels are implemented as planned, and achieve the expected results; identify the potential risks of the project in a timely manner, and propose the corresponding solutions.3. Examine and approve the daily financial reimbursement materials of the project, review and issue opinions on the projects' activities and budget survey, organize project experts to review all kinds of project reports, and issue audit opinions to the CICETE.4. Organize the Programme Office to summarize the annual results of the project, prepare and report the annual report, participate in the project review meeting, report the overall implementation to the Steering Committee of the Programme (PSC), guide and urge each project office to prepare and report the summary report and carry out the review work.5. Statistical analysis of programme and project implementation information, preparation of progress bulletins, publicity work, construction and maintenance of project management system.6. Recommend, select and manage the organization of programme experts, and organize experts to provide technical management advice for the project.7. Organize and carry out project management and other related trainings to enhance the ability of project personnel to perform their duties.8. Carry out other tasks assigned by the CICETE.