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**PROJECT DOCUMENT**

**Pakistan**

**Project Title:** Glaciers & Students - A scientific based approach to monitor climate and glaciers in Pakistani mountain regions and support hydrogeological risk prevention

**Project Number:**00144462

**Implementing Partner:** EvK2-CNR (Italy)

**Start Date:** July 2021 **End Date:** December 2023

**PAC Meeting date:** 18 May 2022

Brief Description
<p><i>The northern parts of Pakistan are home to some of the vast stretches of glaciers after the northern pole. The glacier reserves feed local livelihood system and support unique ecosystems of global importance, in addition to serve as source of water for downstream areas. In face of growing threat from global warming, these resources need assessment and monitoring through scientific technologies. The people living in mountain slopes of GB region are faced with risk of mountain hazards originating from glacier changes under the effect of climate change. The lack of information on climate change and assessment of glacial changes makes it difficult to predict the hazards. This project proposal aims at developing a consolidating program to establish monitoring of high-altitude climate and assessment of glacier changes, in support of environmental monitoring and natural resources management in Pakistan Mountains, Project activities will also contribute to improve risk assessment and prevention, dealing in particular with GLOFs and hydrogeological hazard, thanks to the application of remote sensing and GIS techniques and a dedicated web information system.</i></p> <p><i>The project intends to actively involve Pakistan Universities and their students in the monitoring activities through a dedicated training and capacity building program in the field of glaciers monitoring activities and remote sensing analysis in order to provide the appropriate tools to ensure the pursuing of a long-term research activities at the end of the project.</i></p>

<p><b>Contributing Outcome (UNDAF/CPD):</b></p> <p>UNDP Strategic Plan outcome 3: Countries can reduce the likelihood of conflict and lower the risk of natural disasters, including from climate change.</p> <p>CPD Outcome 2 (UNSD Outcome 6): Enhanced resilience and socioeconomic development of communities</p> <p>CPD Output 6.3: Legal and regulatory frameworks and policies are in place, and institutions capacitated for the conservation, sustainable use, inclusive access and benefit-sharing of natural resources, biodiversity, chemicals, waste management and ecosystems.</p> <p>Indicative Project Output(s) with gender marker<sup>2</sup></p> <p>1. Assessment and monitoring system of mountain glaciers and climate improved in Pakistan contributing to improved planning and management of water resources and natural resources including the sustenance of biological diversity and support to local livelihood base (GEN-01).</p> <p>2. Collaboration and sharing mechanism among Pakistani and international institutions and students strengthened to build capacities for longer term glaciers monitoring through innovative approaches &amp; technologies (GEN-01).</p>
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<b>Total resources required:</b>	Eur 1,100,000.	
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	
	<b>Donor (Govt. of Italy):</b>	Eur1,100,000
	<b>Government:</b>	
	<b>In-Kind:</b>	
<b>Unfunded:</b>	0	

Agreed by (signatures):

UNDP-Pakistan	Government of Gilgit-Baltistan	Implementing Partner EvK2CNR Italy
 Knut Ostby, Resident Representative	 Aziz Ahmed Jamal Addl. Chief Secretary (Dev.) Gilgit-Baltistan	 Agostino Da Polenza, President
Date: 7/7/2022	Date:	Date:

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## I. DEVELOPMENT CHALLENGE

Gilgit-Baltistan in the north of Pakistan, is home to unique geo-morphological set-up, hosting some of the precious ecological systems characterised by floral and faunal species of global importance. The vast glacier stretches on top of the Karakoram, Hindu Kush and Himalayan hills, classified as one of the largest glacier reserves after polar ice, serve as water towers for the productive and economic sectors of entire Pakistan. The steep rocky slopes and wide green grassy meadows, as we come down the glaciers, provide a favourable habitat to rare wildlife species; Markhor, Ibex, Blue Sheep, Snow Leopard, Lynx, Eagle, Marmot, Flying Squirrel, are some to quote, in addition to a large number of plant species having scientific and economic significance.

The valley floors are habituated by local human population, living there since long with their rich cultural heritage. The bond among humans, land, plants and wildlife for a mutually inter-dependent livelihood system is very strong and self-sustaining. It is further strengthened by flows of water from glaciers that irrigate their farmlands, nourish natural vegetation and fulfil human needs. An important element, since last few decades, has been the growing trend of nature tourism. Whereas the natural landscape, glaciers, wildlife and waterfalls attract a large number of national and international tourist, this becomes a source of employment and income for locals.

The ecosystem and natural resources, however, are not without risk and are taking the brunt of changing environmental and climatic patterns in the region. Whereas the reducing land cover, deforestation, over exploitation of land and wildlife species are directly linked to human interventions, the mountain disasters in the form of glacial lake outburst floods, landslides etc are the result of increased melting of glaciers. The number and frequency of these disasters has been increasing at fast pace, leaving behind damage to lives, property and infrastructure.

The mountain communities, already living in subsistence, are the most vulnerable to social and economic damage of these disasters. Women folks in mountain communities, who live behind at homes or work in their field while men are gone for business and labour, are at the forefront to take the damage of disasters. The economic impact of loss of livestock, houses, land and crops as a result of these disasters are felt life-long by the marginalized mountain population.

The government agencies and institutions have been performing, at the most, a role of providing relief after disasters. Risk management and reduction, at source level, has been lacking because of insufficient information on glacier resources.

The huge glacier reserves in the Gilgit-Baltistan region, despite of their scientific and economic significance, have been one of the least monitored resources in this region, owing mainly to the lack of capacities, technology and accessibility. Due to lack of monitoring data and capacities, devising effective strategies to cope with the increased occurrence of disasters originating has not been accomplished so far. It is important to mention that glaciers management and monitoring, due to their ecological, social and economic importance, has been part of development frameworks in other parts of the world.

The role of glaciers in freshwater provision and regulation is proven in many other parts of the world, necessitating for us to monitor these precious resources. By providing baseline information on hydrological and hazard assessments, the observation of glaciers in mountain regions help us understand the changes occurring in glaciers. The measurements of changes in glaciers mass and length through in-situ methods and remote sensing in mountain ecosystems have indicated changes in climate patterns (Nussbaumer S.U. et al., 2017). This leads us to the conclusion also, that in order to better understand the root causes of glacier melting and other changes, we must monitor meteorological factors in the glacier region.

The knowledge of the glacier "health state" is crucial for determining water availability, especially during the dry season. It is thus mandatory to collect information on specific, important glaciers, to determine their yearly contribution to river flow. Glacial systems work through a delicate equilibrium between snow accumulation and snow ice melting. In Karakoram, this balance is complicated by the debris cover, widely present on most glacier surfaces. Baltoro Glacier, thanks to its dimensions (about 60 km long and more than 500 km<sup>2</sup> wide) and the fact that it is the way to K2, is one of the symbols of Karakoram glaciers. Owing to the fact that its lower part is debris covered and its upper

part is debris free, Baltoro can offer a wide spectrum of the different morphologies and typologies of Karakoram glaciers.

The glaciers of Gilgit-Baltistan provide 50.5 billion cubic meters of water to River Indus upon which country's 70 and 40 percent of agriculture and hydropower generation depends. This manifest that the food and energy security of Pakistan is highly dependent on this water tower, which is susceptible to global climate change phenomena. High altitude mountain glaciers of the region also serve as "Barometers of Climate Change" meaning that a slight change in the mean temperature imparts drastic changes on the glacial mass. Increase in the mean annual temperatures are recorded in Gilgit-Baltistan and there is also seasonal shift in the precipitation increasing the frequency and ferocity of hydro-metrological disasters.

Remote mountain communities of Gilgit-Baltistan inhabit in valley bottoms along rivers and streams are highly vulnerable to the disasters triggered due to climate change. The response time is usually in minutes due to close proximity to the glaciers steep slopes.

To devise effective strategies for sustainable mountain development and monitoring, prevention and adaptation to climate change it is also fundamental to increase capacity both at local and institutional level in mountain regions. Previous experiences in other regions of Europe and South America demonstrate that a sound understanding of measurement techniques and of the purpose of measurements is necessary for successful glacier monitoring. In addition, establishing durable institutions, capacity-building programs, and related funding is necessary to ensure that glacier monitoring is sustainable and maintained in the long term.

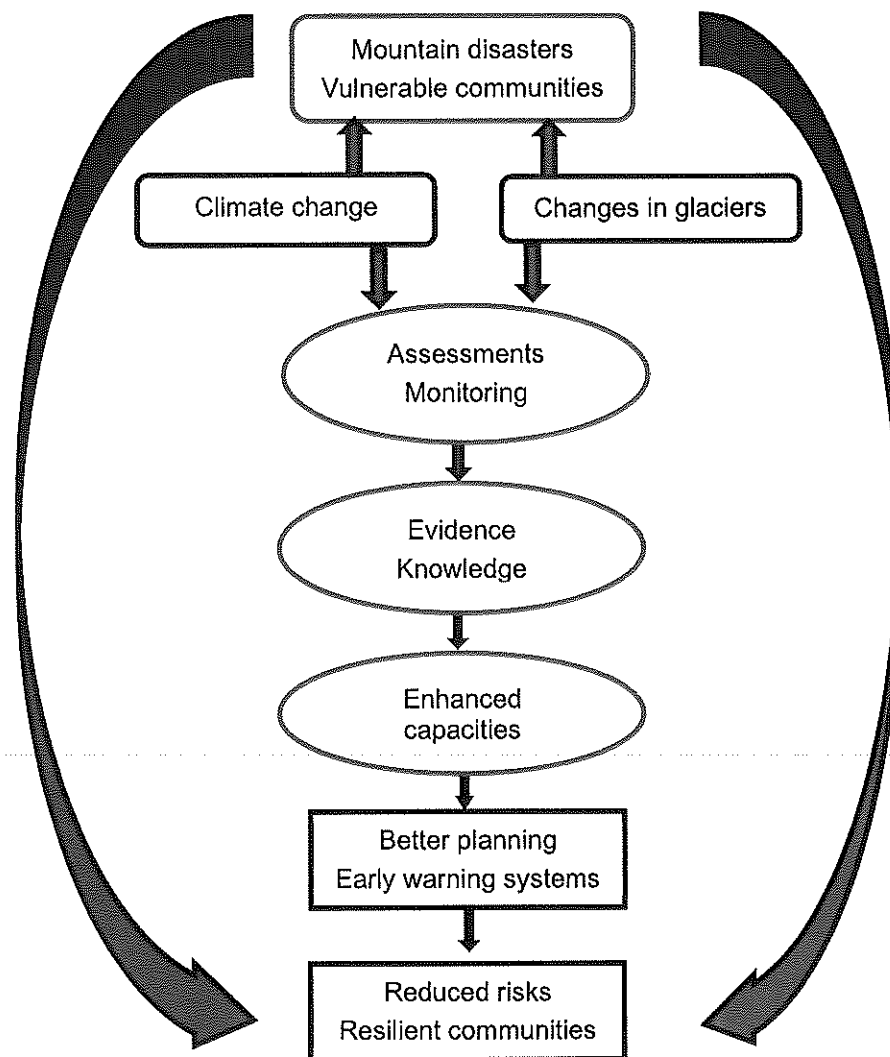
The mountains and glaciers are highly sensitive to climate change and may have serious consequences downstream e.g. changes in sea level, effects on hydro-power planning for industries, and water management in agriculture sector. Systematic research into and long-term monitoring of cryosphere is therefore necessary. However, it is the complex environmental and geophysical setting in mountain regions that makes it difficult to conduct research and monitoring (Salzmann et al 2014; Strachan et al 2016).

The measurement of glacier resources and monitoring of climate factors in Gilgit Baltistan will generate knowledge that can be used for awareness raising, decision making and formulating long term strategies for disaster risk reduction and better management of sectors related to water. However, at the same time, this necessitates the building of capacities to generate, manage and share these knowledge resources for coordinated efforts. Better decisions and actions in these sectors will have positive impacts on the management of water and land resources, ultimately enabling us to establish better responses to climate change and contribute in poverty reduction (Sustainable Development Goals No. 1, 6, 13 and 15).

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## II. STRATEGY

This project proposes an approach that will facilitate assessments, build capacities and hence reduce the risk of natural hazards originating from melting of glaciers under the effect of climate change. This approach consists of measuring the changes in glacier resources and the climate patterns at high altitude through advanced and proven scientific techniques using scientific equipment. The knowledge generated will be archived and shared through GIS based applications for scientific purposes, awareness raising, work planning and decision making at policy level. The same processes will be used to enhance local capacities in scientific institutions (i.e. universities) that will serve as an asset for longer term sustainability of the project initiatives. The concept can be illustrated as below:



Apart from establishing, maintaining and monitoring a network of high-altitude meteorological observation system, changes in the glacier bodies will be monitored implying in-situ measurements and remote sensing techniques. The data trends generated over a period will be used to establish a link between climate variations and glacier changes. The same will also provide indication of disaster risks and hence favour better planning and timely decision making to reduce risks in dependent sectors e.g. agriculture, water management, power production, disasters etc.

The in-situ measurement techniques used for glacier bodies are time consuming and require more resources, owing to the accessibility problems and harsh climatic conditions in the study area. The concept of observation in combination with a number of carefully selected index stakes can be used. They can be complemented with topographic precision mapping at about decadal intervals (volume change of entire glaciers) for smaller ice bodies or with laser altimetry/kinematic Global Positioning System for large glaciers. Following the monitoring strategy of the GTN-G, it is recommended to periodically validate and calibrate annual glaciological mass balance series with decadal, geodetically derived mass balances in order to detect and remove potential measurement or calculation errors (see Zemp et al 2013).

In addition, glacier front variation series (i.e. length changes) will be developed to assess the representativeness of the existing mass balance. These series provide insight into climate–glacier processes and glacier dynamics.

On the other hand, remote sensing methods will enable globally standardized glacier monitoring, which implies the potential for mountain wide and global inventories, as recommended by GTN-G. Remote sensing will also reduce the cost and time required to calculate changes in glacier length. This technique further allows determination of geodetic glacier mass changes for both individual glaciers and entire mountain ranges (see Gardner et al 2011; Jacob et al 2012).

There are several satellite instruments that can be successfully used in the field of glacier mapping, from declassified Corona panchromatic images (in operation from 1960 to 1972) to the suite of Landsat platforms (1972–today), Advanced Spaceborne Thermal Emission and Reflection Radiometer (2000–today) and Satellite pour l’Observatoire de la Terre (1986–today).

Remote sensing data will complement the in-situ measurements. Recent developments in remote sensing techniques promise automatic retrieval of glacier lengths in the near future, which will enlarge the available dataset substantially. Although satellite imagery allows for glacier outline mapping, terminus-position identification, and area and elevation determination and monitoring (also in remote areas), other observations can only be obtained in situ. Because ice can be hidden beneath the surface, proper mapping of debris-covered glaciers often requires control by fieldwork. Locally measured data are indispensable for understanding the physical processes that link glaciers and climate—information that is necessary for constructing better forecasting models.

Karakorum Range is equipped with a network of meteorological stations, installation which started in 2004. The automatic weather stations are located in Askole (3.500 m asl), Urdukas (4.000 m asl) and Concordia (4.700 m asl). The network is managed by Ev-K2-CNR in collaboration with the Pakistan Meteorological Department and provides unique ground-based information on Pakistan mountain meteorology, fundamental to improve the calibration of meteorological models and to support the study of climate variations and glacier dynamics in the area and the management of Pakistan mountain natural resources. Hydrogeological risk assessment and prevention, including landslides, flood and GLOFs hazard, is still a key challenge in the area and the use of GIS and remote sensing techniques can support the prevention and the mitigation of such risk in the region.

The data generated from climate and glacier monitoring will be archived in GIS based systems. It will be updated periodically and analysed for deducting conclusions. The information will be shared with stakeholders regularly to enable them take decisions on right time and make necessary arrangements for disaster management. The data can also be a valuable contribution to early warning system in the region. Through universities, and concerned departments, the data will be shared widely at local, provincial, national and international level with concerned entities.

The '*Scaling-up of Glacial Lake Outburst Flood (GLOF) risk reduction in Northern Pakistan- (GLOF-II)*'— a project funded by the Green Climate Fund and implemented by the Ministry of Climate Change, Govt of Pakistan together with Govt of Khyber Pakhtunkhwa and Gilgit-Baltistan with support of UNDP— is also expanding the early warning systems and discharge measuring network in the region by installing 50 automatic weather stations (AWS)- 22 in KP and 28 in GB-to upscale ongoing initiatives to protect communities from GLOF risks.

The Gilgit-Baltistan Wildlife & Parks Division of the GB Forest, Wildlife & Environment Department is the custodian of wilderness areas including the glaciers, whereas the GB Meteorology Department takes care of the observation of climate factors. Gilgit-Baltistan Environmental Protection Agency looks after the affairs of climate change, environmental monitoring and reporting to MoCC on climate and INDC's etc. Currently there is basic network of climate observatories in GB but does not suffice to take care of high-altitude needs. The technical capacities required for measuring the changes in glaciers are also lacking in the local research institutions like the Karakoram International University and Baltistan University.

The activities proposed under this project, however, require enhanced local capacities. The students and faculty of the local universities will be engaged in undertaking these measurements to build local skills and to develop their linkages with Italian research institutions who will be undertaking the field work.

For this purpose, the project will develop platforms where local research institutions can partner with international organizations to exchange knowledge and expertise and hence provide opportunities for collaboration leading to capacity building. The same is necessary to increase the sustainability of the ultimate outcome from this project.

The knowledge generated and enhanced capacities will contribute to reduction of risks from mountain hazards. These will also enable local communities, particularly youth and women to better cope with mountain hazards originating from changes in glacier bodies under the effect of climate change. Information on climate factors and changes in the glacier masses, will provide timely information for making informed decisions, and this will reduce the risk from mountain hazards at

local level and in the downstream areas. The knowledge generated will be disseminated through universities, local departments and other stakeholders to all concerned, for example, the agriculture department, Ministry of Climate Change, Gilgit-Baltistan Environmental Protection Agency, Disaster Management Authorities, FAO, GLOF-II, ETI and other identified in the process. For wider audience and the scientific community at global level, the glacier inventory will be published and circulated, and the research articles will be published in international journals.

The benefits of enhanced knowledge, information and capacities will be reaped by the people of Pakistan in general and the Gilgit-Baltistan in particular, irrespective of their gender, age, social and economic status or political affiliations. The knowledge and skills assets will strengthen the local policies and management strategies of natural resources that will ultimately reduce risks from natural hazards and ensure all-inclusive access to better livelihood opportunities for mountain communities. The marginalized rural communities dwelling in far flung upstream areas, particularly rural women, will be benefited the most, thus ensuring the principle of 'leaving no-one behind' and 'reaching to the farthest first'. The project outputs are in line with UNDP Strategic Plan outcome 3: Build resilience to shocks and crises' and SP Outcome 3: Resilience built to respond to systemic uncertainty and risk (2022-2025). The project adapts Signature Solution 3 i.e. Enhance national prevention and recovery capacities for resilient societies (2018-2022) and Signature Solution 3: Resilience (2022-2025).

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### III. RESULTS AND PARTNERSHIPS

**General Objective:** Management of natural resources and mechanism for risk prevention in Pakistani Mountain Areas improved by enabling an evidence-based assessment and monitoring system for mountain glaciers in face of growing threat from global warming.

**Specific Objectives / Project Outputs:** Include;

1. **Assessment and monitoring** system of mountain glaciers and climate improved in Pakistan contributing to improved planning and management of water and other natural resources including the sustenance of biological diversity
2. **Collaboration and sharing** mechanism among Pakistani and international institutions and students strengthened to build capacities for longer term glaciers monitoring through innovative approaches and technologies.

#### A - Project Outputs, Indicators, Activities and Activity Results

**Output 1: Assessment and Monitoring:**

**“Assessment and monitoring system of mountain glaciers and climate improved in Pakistan mountain areas contributing to improved planning and management of water and other natural resources including the sustenance of biological diversity”**

This result area addresses the technological and systematic needs for establishing an assessment and monitoring system for mountain glaciers. There is also a knowledge gap on Pakistani mountain glaciers, their status and threats faced because of global warming that need to be covered by providing evidences. The results achieved under this area will support decision making for sustainable natural resource management leading to conservation of important ecosystems and the strengthening of livelihood support systems at local level.

Moreover, the Project will make sure that Government of Gilgit-Baltistan, will be able to continuously provide necessary data to government partners to ensure adaptation of the agricultural and livelihoods sector to the changes generated from the glaciers' behaviour regarding GB and other provinces downstream. It will also be ensured that the climate data storage, processing, ready delivery to user and reporting to the national and global actors.

### Output Indicators:

- 1.A Number of climate monitoring stations in glacier region established and maintained to provide data on changing climate patterns for use by MET Deptt, GB Government (GB-EPA) and other concerned.
- 1.B Number of glacial bodies measured, monitored and documented to monitor changes over time that can provide early warning for natural hazards and contribute in reducing risks faced by mountain communities, particularly women and marginalized groups, in downstream valleys.

### ***Activity 1.1: Install/improve and maintain climate monitoring network***

Maintain and improve the monitoring activities in order to assure the long-term availability of reliable data to support the management of these mountain protected areas. This component will be a key point to preserve the unique long-term environmental time series available in Karakorum through the maintenance and the improvement of the climate monitoring network. The activity foresees both the maintenance and the upgrading of the existing network installed by Ev-K2-CNR in the Central Karakorum National Park and the installation of new monitoring stations in other key sites of the region that will be identified during the first phase of the project in accordance with the foreseen research plan of the project, to support glacier monitoring activities too. The data generated from these stations will fill the gap in climate data already maintained by the MET department and can also be used by other departments like the GB-EPA, Agriculture Department, water management department and others as important information for taking decisions.

Activity Result: 8 (number of climate monitoring stations installed and/or improved)

### ***Activity 1.2: Study and monitoring of glaciers and glacial bodies***

This task could also foresee the carrying out of specific glacier and water monitoring/field campaign managed by Ev-K2-CNR. This work will be functional to several other potential activities, that could be developed in this framework, but also within other ongoing or new projects dedicated to water resources management, hydrological risk assessment prevention and natural resource preservation and management. This activity will foresee a preliminary survey to identify the monitoring sites. In the selected glaciers periodical field campaign will be organized to install monitoring equipment and to study glacier dynamics. Field data will be coupled with remote sensing information to better understand the impact of climate variations and future scenarios of glacier evolutions and water resources availability to support risk assessment prevention, including GLOFs.

This valuable information when analysed in relation to climate data can provide insights into the dynamics of changes in climate and glacier bodies. Information on changes in glacier bodies (length, depth, volume, mass) can provide valuable and timely indication of hazards originating from glacial melting (e.g. GLOFs) and thus will enable the Disaster Management Authorities to take timely and informed decisions to manage disasters and the risks associated to these calamities. Hence, the risks faced by mountain communities in downstream areas due to natural hazards will be reduced. Particularly women and marginalized groups, who are more vulnerable to mountain hazards, will benefit from these informed decisions and actions taken by the concerned authorities to cope with hazards. Long term climate, glacier and hydrological data will also be beneficial for hydropower planners in GB in order to plan and build hydropower projects, reducing risks to the hydropower projects by taking information of hydro-metrological disasters and also to take the climatic and hydrological parameters in account while taking executive decisions.

The results generated under this and previous activity will, in combination with data evidences generated under other projects (including GLOF-II project), help the regional and national or provincial governments to evolve their agriculture and livelihood strategies according to the behaviour of glaciers under changes in climate factors.

Activity Result: 4 (number of glaciers and glacial bodies monitored and studied)

### **Activity 1.3: Update the Pakistan Glacier Inventory**

Publish the Pakistan updated glacier inventory, applying the methodology of Ev-K2-CNR used to develop the Central Karakorum Glacier Inventory to the Pakistan's Glaciers. The publication will be an enhancement of the Ev-K2-CNR "Central Karakorum Glacier Inventory" and will be extended to all glaciers in Pakistan. The report will describe all the glacial bodies and GLOFs in Pakistan, providing scientific -based comprehensive overview of the cryosphere resources of Pakistan, including detailed analysis of the recent glaciers' evolution and variations that will help in better understanding future scenarios.

Activity Result: 4 {Updated Pakistan Glacier Inventory Report (1), and other scientific research articles published (3)}

## **Output 2: Collaboration and Sharing:**

**"Collaboration and sharing mechanism among Pakistani and international institutions and students strengthened to build capacities for longer term glaciers monitoring through innovative approaches and technologies"**

### **Output Indicators:**

- 2.A Web based GIS climate and glaciers data archiving and sharing system developed and maintained to enable knowledge and data sharing among international institutions for scientific purposes, and the provincial and national authorities e.g. Met Deptt, GB-EPA, Water and Power Department GB, Disaster Management Authorities, Agriculture Deptt, and Water Mgt. Deptt.
- 2.B Number of students and faculty members of the local universities in Gilgit-Baltistan trained in glacier inventory and monitoring

### **Activity 2.1: Design and establish a web-based GIS information system**

Implement a web GIS information system based on Ev-K2-CNR/SHARE GeoN network to collect and share the environmental information available in the area. The platform will support concerned authorities, local stakeholder and beneficiaries to monitor the status and the evolution of glaciers, thus supporting the prevention of GLOF and hydrogeological risk. The system will automatically elaborate satellite images and remote sensing input in order to provide processed maps, data and metadata. This platform will represent a unique data and information repository and could have several applications to support glacier and water resources management and risk assessment prevention. The information system will be interoperable and will follow the international standards in terms of metadata and data format and QA/QC procedure, in order to guarantee the reliability of the information, facilitating the exchange of information at different level.

Thus relevant government departments responsible for monitoring climate (Met Deptt), disaster management (GB Disaster Management Authority), GB sectoral departments (Agriculture, Water), Gilgit-Baltistan Environmental Protection Agency and international development agencies (FAO, IFAD-ETI, WMO) will benefit from these platforms by gaining access to knowledge and data and mutual sharing of knowledge resources.

Activity Result: Web-based GIS information system developed, and data archived

### **Activity 2.2: Capacity building programme for faculties and students of Pakistani universities**

Ensure a dedicated training and capacity building program for local universities in Gilgit-Baltistan involved in project activities. Thanks to the collaboration of Italian Universities, students and faculty of Karakoram International University (KIU) and University of Baltistan (UoB) could improve their knowledge in this field, both by participating in monitoring field



activities and remote sensing analysis and through exchange programmes with Italian universities. This exchange will ensure the sustainability and the pursuing of the activities in the long-term period. International expert will prepare dedicated learning program that will be carried out at the Universities through seminars and workshop, on the field and through the involvements of students in the preparation of dedicated master and PhD Thesis.

*Students read the Glaciers* - A communication system within the universities will allow the competent department with the federal and provincial related institutions and part of the students to monitor and broadcast the results and participate in the actions downstream whenever relevant.

*Activity Result: 100 (number of students and faculty members trained in glacier monitoring and related technologies with considerable representation of females)*

## **B – Potential Proposed Partnerships**

- **Government of Gilgit-Baltistan:** Gilgit-Baltistan presently consists of ten districts, has a population approaching one million, an area of approximately 28,000 square miles (73,000 km<sup>2</sup>), and shares borders with other provinces of Pakistan, China, Afghanistan, and India. The government of Gilgit Baltistan consists of democratically elected body with the Governor of Gilgit-Baltistan as the constitutional head. The Chief Minister of Gilgit-Baltistan is elected by the Provincial Assembly of the Gilgit-Baltistan to serve as the head of the provincial government in Gilgit-Baltistan. Planning and Development Department of GB leads the development of the province and is the custodian of all the development programmes that are implemented on the annual basis, in coordination with all the departments of the provincial government. They monitor the utilization of funds of the Annual Development Programme (ADP), provide approval of development schemes and coordinate training of economic development for all officers serving with the Gilgit-Baltistan Government. The GB Disaster Management Authority is the arm of National Disaster Management Authority responsible for managing the risks associated with natural hazards in the region. The GB-DMA will be one of the beneficiaries by getting access to real time and timely data on climate factors and changes in the glaciers that could become source of hazards, enabling them to take timely decisions and strengthen their early warning system for disasters. Gilgit-Baltistan Environmental Protection Agency will be one of the key, beneficiary as the Agency has already started programme on glacier monitoring, climate reporting, climate change strategy and climate change adaptation action plan.
- **Pakistan Meteorological Department:** The Pakistan Meteorological Department is both a scientific and a service department. It is responsible for providing meteorological service throughout Pakistan to wide variety of interest and for numerous public activities and projects which require weather information. In its services to aviation the department responsibility goes to some extent beyond national boundaries in fulfilment of accepted international agreements and obligations which include, among other things, the collection and rebroadcast of meteorological data. Apart from meteorology, the department is also concerned with Agrometeorology, Hydrology, Astronomy and Astrophysics (including solar physics), Seismology, Geomagnetism, Atmospheric Electricity and studies of the Ionosphere and Cosmic Rays. Pakistan Meteorological Department shoulders the responsibility to investigate the factors responsible for global warming, climate change its impact assessment and adaptation strategies in various sectors of human activities. Pakistan Met Department has been partnering in other projects like the GLOF-II project, and hence can benefit also from the database generated for high altitude climate assessment.
- **Karakoram International University (KIU):** The KIU was established in 2002 by a charter from the Federal Government on the orders of General Pervez Musharraf, President of Islamic Republic of Pakistan. KIU is to be a multi-campus university and is seeking to establish additional campuses where feasible, according to the availability of special support, local resources and indigenous expertise. Currently, the main campus has nearly 2300 students, nearly 100 faculty members and over a hundred administrative staff in sixteen academic departments. Skardu Campus has been started with four disciplines i.e. English, Computer Sciences, Business Management and Education. The Karakoram International University is a leading institution of higher learning committed to social development and evolution of peaceful

and pluralistic societies in the mountainous areas of Pakistan and geographically similar regions elsewhere. KIU mission is to promote human development at all stages of life; through growth, evaluation, synthesis, dissemination and application of knowledge, and provide a service that values sustainable, humanitarian, and economic development of the environment. Through the SEED project the KIU had received substantial support in several fields, as infrastructure development, furniture of equipment, including the installation of a Water Laboratory, scientific, such as the establishment of the Centre for Applied Mountain Studies (IMARC – Integrated Mountain Area Research Centre) and educational, with twenty students completing the PhD in Italian Universities. Thus, KIU is well acquainted in dealing with Italian partners. The faculty and students of the KIU will participate in monitoring and assessment activities in the field and will also benefit from exchange programmes with Italian universities. The project proposes to establish a Glaciology Centre in the University that can serve as knowledge repository and sharing platform for knowledge and experiences.

- **University of Baltistan (UoB):** The UoB, Skardu was established on August 25, 2017, under the “University of Baltistan Order 2016” as a federal public-sector university. The University is open to all persons of either gender and of whatever religion, race, creed, class, colour, or domicile. Earlier, as a higher education institution, the university started functioning as a sub-campus of Karakoram International University in 2011 with four departments including Computer Science, Modern Languages, Business Management and Educational Development. The Department of Biological Sciences was established in 2017 hence increasing the number of departments to five. The University of Baltistan, Skardu is a public-sector university and the only higher education institution offering various degree programs in the region. The establishment of this university has multiplied prospects for the local, national, and international students. The geographical location of the university gives a strong foundation for the current and future programmatic activities. Baltistan is situated in the lap of the two largest mountain ranges, i.e., Himalaya and Karakoram, in the extreme north of Pakistan. The region is composed of several enchanting valleys including Skardu, Khapulu, Shigar, Kharmang, Gultari and Roundu. Skardu is the capital city of the entire region. The region abounds with natural resources, landscapes and unique climatic conditions. It hosts some of the largest glacial ranges such as Baltoro, Biafo, Siachen, Trango and Godwin-Austen. The region is a home to five summits which are more than 8000 meters. Among them, K2 is the second highest peak of the world. In addition, a cluster of 150 world famous mountain peaks are also located in this region. Deosai, the world’s highest tableland, is also located in Baltistan. Indus river, one of the longest rivers of the world, creeps crossing different valleys of Baltistan till it rushes towards the North-west into the gorge Roundu and adjacent valleys. Several natural and artificial lakes increase the beauty of this region. There are thousands different types of herbal medicinal plants in this region. Other than these, Baltistan is also famous for mining, wildlife, built-heritage, unique cultural customs and games (polo, skiing, etc). The mesmerizing features of Baltistan attract thousands of national and international tourists and researchers every year. Therefore, all the programs and activities in the university reflect the local resources of the region. The university plays a pivotal role in the socio-economic and educational development of the region and nation through robust and contextually relevant programs.

## C - Risks and Assumptions

The project has been carefully planned on the identified needs for knowledge and capacities keeping in view the current situation in project area. It is assumed that the local mountain communities in Gilgit-Baltistan, particularly women and marginalized, depend heavily on natural resources e.g. water, land and livestock, for their livelihood, and hence are more vulnerable to natural hazards originating from mountains and glaciers in the Karakoram region. Since these communities are in closer vicinity of major glacier bodies, their vulnerability is even increased. It is assumed that the project findings will fill the gap of knowledge and data on climatic and glacial aspects in the Gilgit-Baltistan region, and that the staff of authorities of the relevant government department in GB region (e.g. GB Met Department, GB Disaster Management Authorities & GB-EPA) will be able to own the project outputs in their best interest and put into practice for the benefit of the local marginalized communities. It is also assumed that the target high altitude area, located in glaciers, is accessible

for activities by national and international experts. Currently, the area of Gilgit-Baltistan, like the rest of the country and the world, is facing a Lockdown situation due to COVID-19 pandemic that is affecting activities in every field of life due to restrictions on land and air travel and social activities. It is assumed, keeping in view the current government strategies, that the situation will be improved till the operationalization of this project, at least partially to allow air travel for experts to Travel to Pakistan and to the Gilgit-Baltistan region.

There are however certain risks that the project needs to take account of. The high-altitude range in Karakoram, Hindu-Kush and Himalayan region, as the record shows, may become inaccessible on certain occasions because of bad weather conditions. Prolonged winter season and occurrence of heavy snowfall may also shorten the period available for implementation of project activities. On the other hand, the pandemic crisis may escalate to unexpected limits, against the forecasts of the government, forcing the agencies to enforce more restrictions on travel and social activities, or prolong the lock down situation to unexpected time period. There is also a risk that, the Gilgit-Baltistan region due to its undecided constitutional status and presence of heavy network of security agencies, may pose restrictions on the entry and movement of foreign experts.

In face of these risks, the project teams will maintain a close liaison with government authorities (including the District Administration, Met department, Disaster Management & GB-EPA) to get regular forecasts on weather conditions, local socio-political condition and situation analysis of the COVID-19 pandemic in Pakistan and in the region of GB. The project partners and implementation teams will maintain close consultation with security agencies to move things in transparent way. The project will plan to engage the international experts for establishing the field network of observation stations and use local personnel to collect data or periodic intervals. Intensive field operations will be undertaken in favourable weather conditions to take maximum advantage and to lower the impact of bad weather conditions.

A detailed Risk Log (Operational, technical, security and other risks including Social & Environmental risks) is attached as Annex-3. Partner Capacity Assessment Tool (PCAT) and subsequent Micro-Capacity Assessment (MCA) have also been conducted with identification of relevant risks included in the Risk Register. PCAT shows overall risk rating to be "Low" however under programme and project management area shows "Moderate" risk for EvK2CNR capacity on having a robust policy guidelines and mechanisms for Prevention of Sexual Exploitation and Abuse/Sexual Harassment. Risk mitigation actions have been included in the project risk register for EvK2CNR's actions. UNDP will keep a close oversight on satisfactory completion of these actions by EvK2CNR.

#### **D - Stakeholder Engagement.**

Since the proposal is based on a consolidated long-term experience that brought to the implementation of similar projects for several years, there is an established model of working with various national and international stakeholders. The proposed activities have been generated through consultation with stakeholders and beneficiaries, therefore there is a great deal of ownership in achieving results. At the launch of the project, stakeholders will be invited for an inception workshop to discuss proposed interventions in full detail, to ensure that proposed activities are implementable and remain valid.

The direct beneficiaries are the Government of Gilgit-Baltistan, Pakistan MET Deptt, Ministry of Climate Change and people of mountain villages (local communities) in Gilgit-Baltistan in general but also people living in the downstream that are beneficiaries of mountain ecosystem services. More specifically, within the GB Government, the regional office of the Department of Meteorology will benefit from the climate and glacier monitoring data to supplement their official database and strengthening their capabilities to provide timely information and weather forecasts/warnings to other departments like the Agriculture Department. Similarly, the GB Disaster Management Authority will be the main beneficiary of information generated on Glacier Bodies Changes, providing them timely indication of glacial hazards. GB-EPA will be facilitated by providing climate and glacier data in update their climate change cell established under GLOF-II Project in order to streamline the climate reporting system Also, the faculty and students of Karakoram International University will benefit

from the capacity building programme through engagement in field monitoring and exchange programmes with Italian universities.

On community side, main beneficiaries will be the mountain rural people living on mountain slopes and valley bottoms of Gilgit, Hunza, Nagar, Shigar, Khaplu and Skardu. These constitute all areas that are directly under the effect of water resources originating from major glaciers, and where the geomorphology of the terrain makes them directly vulnerable to glacial hazards. Within these communities, the women and poor are particularly vulnerable to mountain hazards due to their mobility status, lack of access to resources and information on hazards, and capabilities to cope with crisis at a time of hazard. The timely information from relevant agencies and the adequate planning for risk management will reduce the risk to lives, property and infrastructure in the region. Preliminary contacts with the beneficiary Governments have already been established at different levels. A general willingness to cooperate within the framework of this project, and to support the proposed environmental and development objectives, has emerged.

Sustainability of the interventions beyond the project implementation phase will be dependent on the ownership and involvement of the local universities and all the participating institutions. The capacity building activities will ensure full ownership of the project at the regional level. Participating institutions and specialized staff will acquire and maintain new expertise through this project; even after the end of the project, high levels of know-how will be maintained and will constitute an important resource for their own similar initiatives. By integrating implementing activities, the project will contribute to guiding regional environmental policies and refining national capacities for combating or mitigating the risks of "less sustainable" practices and policies.

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

N/A

#### **F - Knowledge**

One of the major components of the project focuses on generating and disseminating knowledge and best practices in glacier and climate monitoring and related applications for environmental risk assessment. The proposed project will work to contribute mountain ecosystem services in Pakistan by improving knowledge (data and capacity building), risk prevention (remote sensing analysis for the definition of possible scenarios), water resources management, developing an effective response to climate change. Specifically, the project will focus on consolidating glacier and climate monitoring, establishing an adequate information system and promoting training and capacity building at local level.

All of this will further necessitate the strengthening of capacity in both custodian government departments and local communities, to be part of solutions to emerging challenges and implement effective strategies to cope with climate change. Capacity building of women in the above regard will be carried out in a focused based approach as women are at most vulnerable affectees of climate change hence gender sensitive strategies will be identified to cope with the situation. Women are not only vulnerable to climate change, but they are also effective actors or agents of change in relation to both mitigation and adaptation. Women often have a strong body of knowledge and expertise that can be used in climate change mitigation, and adaptation strategies. Furthermore, women's responsibilities in households and communities, as stewards of natural and household resources, positions them well to contribute to livelihood strategies adapted to changing environmental realities. In addition, the project shall provide online platforms for sharing, knowledge, contributing to the establishment of a research base for addressing decision-making and management issues, using wide-ranging consultations to find solutions to climate change related problems.

#### **G- Sustainability and Scaling Up**

The project will be implemented in sync with other long-term initiatives of government and development counterparts (GLOF-II) in the region, which will allow the continuation of the proposed activities beyond the implementation of this project.

By involving local universities, the project aims to strengthen scientific and technical capacity in the region and support continuation and replication of the methodology by concerned organizations beyond the implementation phase. Prospects for success are based mainly on the attention that government authorities will give to climate change and environmental monitoring and related impacts, as well as their commitment to institutionalizing related planning mechanisms, thus ensuring the vitality of the monitoring and risk assessment activities promoted by the project. As mentioned, several regional and international level agreements have already been adopted by local authorities, demonstrating strong commitment for collaboration. According to internationally consolidated participatory methodologies adopted by this project, specific attention will be given to the role of women in glaciological and climatological studies. Capacity building programmes for students and faculty of universities will observe equal participation of women. Furthermore, the project will ensure equal involvement of women and men while designing orientation sessions, and scientific studies/methodologies hence reducing the chances of gender-based biases. Also, from an environmental point of view, the systemic planning and management process stimulated by this project will provide the best prospects for sustainable development, not only limited to spot interventions, but in terms of integrating management actions with preventative activities that foresee reduction of climate change impacts.

The enhanced capabilities of the MET department GB-DMA & GB-EPA will ensure continuity of the monitoring and assessment activities through maintenance of the climate observation stations and data collection points on selected sites of glacial bodies. Similarly, the establishment of a Glaciology centre at local university will ensure the sustainability of research activities, sharing and exchange of knowledge and experiences and networking with international bodies. The Glaciology Centre will become a foundation block for the establishment of a full fledged Department of Glaciology at the Karakoram International University as already foreseen by the university.

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#### **IV. PROJECT MANAGEMENT**

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

The project approach and methodology to monitor high altitude climate and assess changes in glaciers is based on international best practices from Italy. In the project implementation, EVK2CNR (Italy) will involve expertise from Italian universities having previous experience in Pakistani North and other glacial parts of the world. Also, the previous experience of Glacial Inventory conducted in Central Karakoram National Park region will provide guidance to lead the process in this project as many experts worked on that assignment will be engaged for this one too.

The proposed project is the natural extension of environmental initiatives successfully carried out by the EVK2CNR in the mountain regions of Pakistan. The available experience and the past achievements allow through this proposal to move forward in climate change studies, water resources management and environmental risk mitigation. The possibility of involving partners, with a long-term consolidated experience in this framework, and a well-established network of relationships with local institutions and communities, would facilitate the execution and the initiation of the foreseen activities. The project could finally be linked to other important initiatives ongoing in the area at national (like GLOF-II) and international level, thus becoming a reference initiative for environmental monitoring and climate change and related impact awareness, fundamental for any other initiatives which intend operate in a vulnerable, fragile and protected mountain ecosystem.

The project field work will build on existing work resources. Most importantly, the project will count upon updating/value addition, where possible, in the existing network of climate monitoring observatories, and replicating the processes adopted earlier in carrying out the glacier inventory within the Central Karakoram National Park. The project duration has thus been spread on 2.5 years (30 months).

## **Project Management**

The project will be operated under NGO-Execution where EvK2-CNR has been selected as Implementing Partner which will be accountable and responsible for the implementation, monitoring, reporting of results and resources in accordance with NGO-Execution modality of UNDP. In accordance with NGO-Execution Modality, UNDP Pakistan will provide quality assurance and oversight role in accordance with UNDP Programme and Operations Policies and Procedure (POPP).

Partner Capacity Assessment Tool and subsequent Micro-Capacity Assessment (MCA) for EVK2CNR (Italy) have also been conducted with identification of relevant risks included in the Risk Register, in accordance with UNDP POPP guidelines. These risks will be monitored during implementation by UNDP through its assurance and oversight function.

A Project Board will also be constituted in accordance with the UNDP POPP guidance. The Board will provide oversight to the project through annual review of progress, risks, lessons learnt and alignment to the overall project goal. To ensure best value for money and just use of project financial resources, the UNDP usual annual processes of Spot Check and Annual Audit will be followed as guided by UNDP Harmonised Approach to Cash Transfer (HACT) Framework.

## V. RESULTS FRAMEWORK<sup>1</sup>

<p><b>Intended Outcome as stated in the UNDAF Programme Results and Resource Framework: UNSDF (Outcome 6):</b> By 2022, the resilience of the people of Pakistan, especially the most vulnerable populations is increased by addressing and mitigating natural and human induced disasters, including climate change mitigation and adaptation measures, and sustainable management of cultural and natural resources.</p>	
<p><b>Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:</b>  <b>UNSDF indicator 6.2:</b> Number of integrated policies/ strategies/ plans operationalized which increases their ability to protect the environment and population as well as adapt and mitigate the adverse impacts of climate change, and foster climate resilience and low greenhouse gas emissions development in a manner that does not threaten food production (SDG 13.2.1)  <b>Baseline 6.2:</b> 01 National level regulatory framework  <b>Target 6.2:</b> 04 Provincial level integrated sustainable land management policies, 01 National Action Plan on Sustainable Energy for All and 01 National legislation on reduction and elimination of persistent organic pollutants in Pakistan</p>	
<p><b>Applicable Output(s) from the UNDP Strategic Plan (2022-2025):</b> SP IRRF Output 3.1: Institutional systems to manage multi-dimensional risks and shocks strengthened at regional, national and sub-national levels</p>	
<p><b>Project title and Atlas Project Number:</b> Glaciers &amp; Students - A scientific based approach to monitor climate and glaciers in Pakistani mountain regions and support hydrogeological risk prevention; <b>Project Number:</b>00144462</p>	

<sup>1</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1 (06 months)	Year 2 (12 months)	Year 3 (12 months)	FINAL (30 months)	
Output 1 Assessment and monitoring system of mountain glaciers and climate improved in Pakistan contributing to improved planning and management of water resources and natural resources including the sustenance of biological diversity	1.1: Number of climate monitoring stations in glacier established region and maintained to provide data on changing climate patterns for use by MET Deptt and other concerned	Ev-K2-CNR	03 Existing Automatic Weather Stations	2020	03 new Automatic Weather Stations are installed/established; and 02 existing Automatic Weather Stations are improved <i>Description:</i> installation of new and improvement of existing monitoring stations will be carried out.	02 new Automatic Weather Stations are installed/established; and 01 existing stations improved <i>Description:</i> In the second-year equipment installation and maintenance will continue.	No. 0 Automatic Weather Stations <i>Description:</i> Data management protocols according to QA/QC WMO standards will be prepared.	No. 5 new Automatic Weather Stations installed; and 3 are improved <i>Description:</i> Data management protocols will be prepared. Results will be communicated to relevant government departments to supplement knowledge for adoption in devising applicable strategies	Monthly or quarterly field visits, surveys and assessments based on the nature of data collection methods. Review of available data, information and publications



	<p>1.2: Number of glacial bodies measured, monitored and documented to monitor changes over time that can provide early warning for natural hazards and contribute in reducing risks faced by mountain communities, particularly women and marginalized groups, in downstream valleys</p>	<p>Ev-K2-CNR</p>	<p>Baseline: 0 Partial inventory of CKNP Glaciers</p>	<p>2020</p>	<p>02 glacier bodies identified, surveyed and monitored <i>Description:</i> Preliminary surveys will be carried out to define the monitoring and research plan. Field activities will be initiated in the selected glaciers. Gender disaggregated Data from the communities will be collected and reported, particularly women and marginalized groups, in downstream valleys</p>	<p>02 glacier bodies identified, surveyed and monitored <i>Description:</i> Field surveys will also foresee data collection, data validation and reporting. . Gender disaggregated Data from the communities will be collected and reported, particularly women and marginalized groups, in downstream valleys  In the second-year glacier monitoring will continue.</p>		<p>4. surveyed glacier bodies, monitored, studied, analysed and reported <i>Description:</i> Multi temporal analysis and field monitoring of glaciers and glacial body and validation of acquired data. Gender disaggregated Data from the communities will be collected and reported, particularly women and marginalized groups, in downstream valleys</p>	<p>Field visits, surveys and assessments Review of available data, information and publications</p>
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	1.3: Update the Pakistan Glacier Inventory Baseline: Inventory of CKNP glaciers exist	EVK2-CNR	Baseline: 0 and 0 [Partial Inventory of CKNP Glaciers exists]	2020	No. 0 Identification of sites for assessment and measurements, methodology and work planning	No. 0 Data collection and assessments initiated	No. 4 01 updated Pakistan glacier inventory published; 03 scientific publications in international journals	No. 4 01 updated Pakistan glacier inventory published; 03 scientific publications in international journals	
<b>Output 2</b> Collaboration and sharing mechanism among Pakistani and international institutions and students strengthened to build capacities for longer term glaciers monitoring through innovative	2.1 Web based GIS climate and glaciers data archiving and sharing system developed and maintained to enable knowledge and data sharing among the authorities responsible e.g. Met Dept, Disaster Management Authorities, Agriculture Dept, Water Mgt. Dept & EPA at GB and national level.	EY-K2-CNR	0	2020	No. 0 <i>Description:</i> The information system will be interoperable and will follow the international standards in terms of metadata and data format and QA/QC procedure, in order to guarantee the reliability of the information, facilitating the exchange of information at different level.	No. 1 <i>Description:</i> Monitoring data will be uploaded and processed through the information system. The archive will be a repository for both raw and validated data and will support data validation process and elaboration of the information to facilitate the sharing and publication of the results.	No. 1 <i>Description:</i> Processed data will be the scientific base for the publication of the Pakistan Glacier Inventory. Processed data, georeferenced maps, trend and scenarios will be also made available through the information system	No. 1 <i>Description:</i> Processed data will be the scientific base for the publication of the Pakistan Glacier Inventory. Processed data, georeferenced maps, trend and scenarios will be also made available through the information system	Site visits (monthly and quarterly), expert reviews Review of available data, information and publications

approaches and technologies.	2.2 Number of students and faculty members of the local universities in Gilgit-Baltistan trained in glacier inventory and monitoring  Baseline: 0 Target: 100 (End target with considerable female students participation)	Ev-K2-CNR	0  No capacities exist in local universities in GB for glacial inventory and monitoring	2020	50 (with 20 female students)  <i>Description: Training programs for students and faculties of Pakistan Universities will be identified and carried out in consultation with international experts and Italian universities</i>	50 (with 20 female students)  <i>Description: Training programs for students and faculty of Pakistan Universities will be carried out in collaboration with Italian universities.</i>	No. 0  <i>Description: Certificate distribution, Pakistan Glacier Inventory printing, sharing and Final project event</i>	No. 100 (with 40 female students)  <i>Description: Training programs for students and faculty of Pakistan Universities will be carried out in collaboration with Italian universities</i>	Capacity building plan and university training and exchange program
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## VI. MONITORING AND EVALUATION

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

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	Annually	Relevant lessons are captured by the project team and used to inform management decisions.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Bi-Annually (once in 2 years)	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	Annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		

<p><b>Project Report</b></p>	<p>A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.</p>	<p>Annually, and at the end of the project (final report)</p>	<p>APRs and End of project report</p>		
<p><b>Project Review (Project Board)</b></p>	<p>The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.</p>	<p>Annually</p>	<p>Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.</p>	<p>Extended membership in the Project Board to be established, and partners involved as per membership</p>	

## Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Mid-term project evaluation				2023	Government of Gilgit-Baltistan, Pakistan Meteorological Department	9,000 EUR

**VII. MULTI-YEAR WORK PLAN**

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year				IP/JUNDP	PLANNED BUDGET		
		Y1 (6 months)	Y2 (12 months)	Y3 (12 months)	Y4		Funding Source	Budget Description	Amount (Euro)
<b>Output 1</b> Assessment and monitoring system of mountain glaciers and climate improved in Pakistan contributing to improved planning and management of water resources and natural resources including the sustenance of biological diversity	1.1: Install/improve and maintain climate monitoring network	210,000,00 €	78,000,00 €	78,000,00 €		EVK2CNR	AICS	72100	366,000,00 €

	1.2: Study and monitoring of glaciers and glacial bodies	50.000,00 €	50.000,00 €	50.000,00 €		EVK2CNR	AICS	72100	150.000,00 €
	1.3 Update the Pakistan Glacier Inventory	35.000,00 €	30.000,00 €	45.400,00 €		EVK2CNR	AICS	72100	110.400,00 €
	<b>Sub-Total for Output 1</b>								<b>626.400,00 €</b>
<b>Output 2</b>	<b>Collaboration and sharing mechanism among Pakistani and international institutions and students strengthened to build capacities for longer term glaciers monitoring through innovative approaches and technologies.</b>								
	2.1 Design and establish a web-based GIS information system	45.000,00 €	35.000,00 €	38.000,00 €		EVK2CNR	AICS	72100	118.000,00 €
	2.2 Capacity building programme for faculties and students of Pakistani universities	44.000,00 €	30.300,00 €	30.300,00 €		EVK2CNR	AICS	72100	104.600,00 €
	<b>Sub-Total for Output 2</b>								<b>222.600,00 €</b>



<b>Monitoring Evaluation</b> <i>(including travel, end term evaluation)</i>	Monitoring and evaluation	6,000,00 €	12,000,00 €	12,000,00 €		UNDP	AICS	71600, 74110	30,000,00 €
<b>GMS (8%)</b>		20,000,00 €	20,000,00 €	20,000,00 €		UNDP	AICS	75100	60,000,00 €
<b>Coordination Levy (1%)</b>		11,000,00 €				UNDP	AICS	74500	11,000,00 €
<b>Quality Assurance and Oversight Cost</b> (DPC (CO review; Third Party financial spot-checks and audit fee)		30,000,00 €	60,000,00 €	60,000,00 €		UNDP	AICS	71800, 73400	150,000,00 €
<b>TOTAL</b>									<b>1,100,000,00 €</b>

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## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will be implemented through NGO-Execution Modality, as described in the UNDP Programme and Operations Policies and Procedures (POPP). UNDP has selected EvK2CNR as Implementing Partner after following a thorough procedure as described under UNDP POPP for selection of an IP. EvK2CNR has found to have prior experience in the target area on similar projects under the thematic-area of this project. UNDP Partner Capacity Assessment Tool and HACT Micro-Capacity Assessment was conducted and has identified Risk Rating as Low..

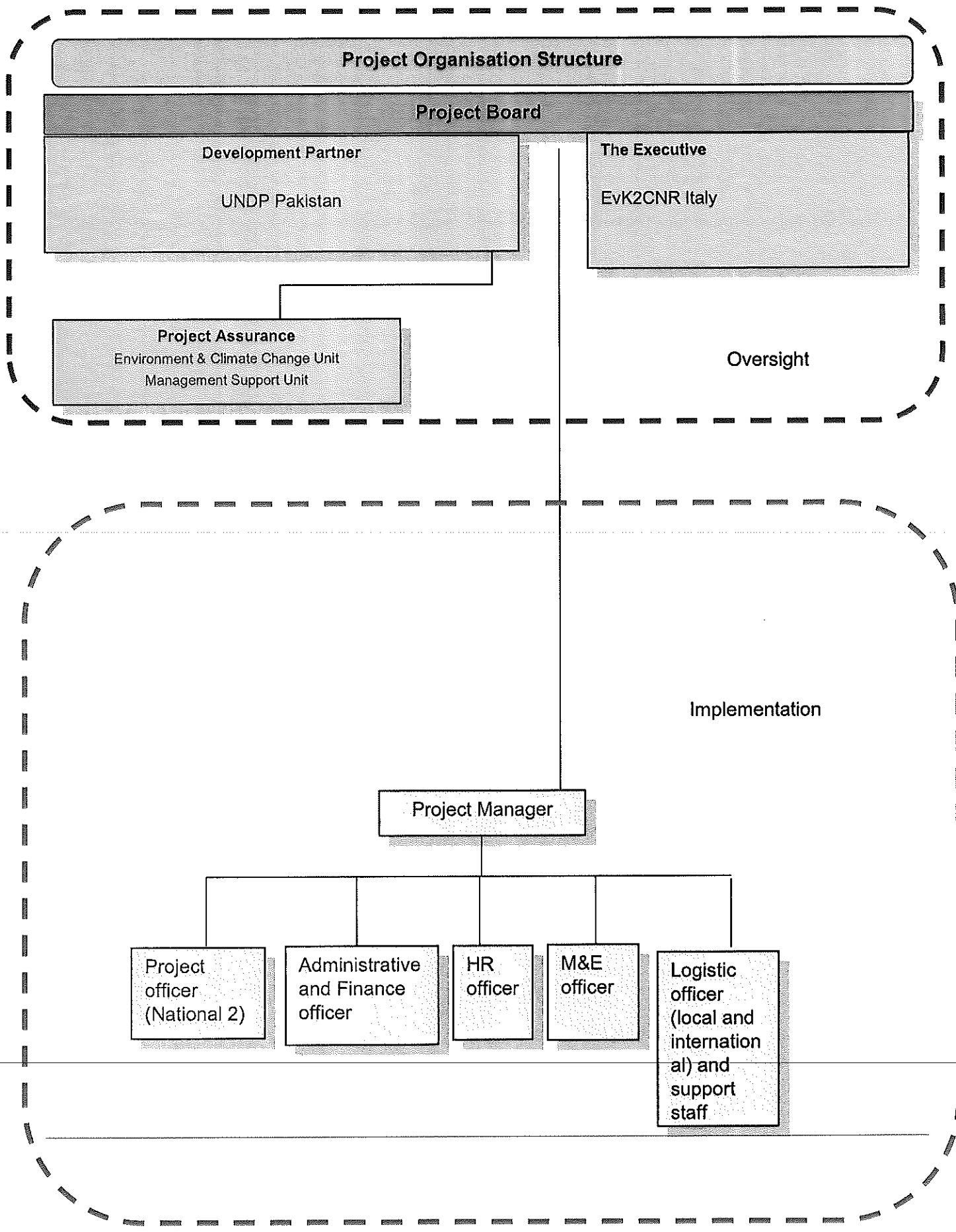
UNDP Pakistan will provide quality assurance and oversight role in accordance with UNDP Programme and Operations Policies and Procedure (POPP).

### Project Board:

The project board is responsible for making management decisions by consensus when required, including the approval of project plans and revisions, and the project manager's tolerances. It reviews evidence on project performance based on monitoring, evaluation and reporting, including progress reports and the combined delivery report. The project quality assurance report and donor reports should be discussed with the board, along with management actions to improve quality. Board decisions are made in accordance with standards to ensure management for development results: best value for money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the board, a final decision shall rest with the UNDP Resident Representative.

13. The project board is consulted when a project manager's tolerances (normally in terms of time and budget) have been exceeded. There is a tolerance for failure, as long as it: (a) results in timely course correction that improves the design of the project, and (b) leads to explicit learning that is shared within UNDP and among external partners. The board authorizes any major deviation from the approved multi-year workplan and decides on project changes through appropriate revisions. It ensures that required resources are committed, arbitrates any conflicts in the project, and negotiates any issues between the project and external bodies. In addition, it approves the appointment and responsibilities of the project manager and any delegation of project assurance responsibilities.

The board will meet at least once in a year and when required for taking important decisions. Representative of other stakeholders will be included in the Board as appropriate, as observers upon agreement of all members of the Project Board. Meetings of the Project Board are organized at least once a year, but more often as required. Project Board contains three distinct roles, including Executive, Senior Beneficiary and Senior Supplier.



## The Executive

The Executive role will be performed by EvK2CNR Italy, which is ultimately responsible for the project. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive must ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier. The Executive is responsible for overall quality assurance of the project as described below. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

### Development partner:

UNDP Pakistan will act as Development Partner to the Project Board.

**Project Assurance:** The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The project assurance role will rest with UNDP Pakistan Environment and Climate Change Unit and Management Support Unit (MSU). The assurance functions will involve commissioning independent Evaluation, 3<sup>rd</sup> party financial spot checks, and 3<sup>rd</sup> party financial audits as well as regular quality assurance on the results and financial resources reports submitted by the IP to UNDP in accordance with the agreed frequency identified in the Project Cooperation Agreement.

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## IX. LEGAL CONTEXT

### Where the country has NOT signed the Standard Basic Assistance Agreement (SBAA)

The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as "the Project Document".

This project will be implemented by EvK2CNR Italy ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

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## X. RISK MANAGEMENT

1. Consistent with the Article III of the *Supplemental Provisions to the Project Document*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
  - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document and the Project Cooperation Agreement between UNDP and the Implementing Partner<sup>2</sup>.

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<sup>2</sup> Use bracketed text only when IP is an NGO/IGO

3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).
4. 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 such 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 the UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP programmes and projects in accordance with UNDP 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 Implementing Partner will promptly inform UNDP 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.

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UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

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

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with the Implementing Partner, 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 Standard Clauses" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

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## **XI. ANNEXES**

- 1. Project Quality Assurance Report (Design and Appraisal)**
  - 2. Social and Environmental Screening** including additional Social and Environmental Assessments or Management Plans as relevant.
  - 3. Risk Analysis**
  - 4. Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment) Annex 4a (PCAT EvK2CNR), Annex 4b (HACT Report EvK2CNR Italy)
  - 5. Supplemental Provisions to SBAA**
-



# 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

- **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?

- **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.

*\*Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.*

The project has a defined theory of change, presented in SECTION II of the Project Document, that contributes to the programme's overall theory of change, and is based on international standards of scientific research, measurements and management and sharing of knowledge resources, and linked with local context and building upon existing knowledge base. The project is in line with the objectives of the Paris Agreement (2015-2030) and contributes to SDGs 1,6,13, and 15 in particular; along with relevant UNDP/CPD outcomes.

2

**Evidence  
Prodoc Theory  
of Change  
Pg: (3-6)**

### 2. Is the project aligned with the UNDP Strategic Plan?

- **3:** The project responds to at least one of the development settings as specified in the Strategic Plan<sup>1</sup> and adapts at least one Signature Solution<sup>2</sup>. The project's RRF includes all the relevant SP output indicators. *(all must be true)*
- **2:** The project responds to at least one of the development settings as specified in the Strategic Plan<sup>4</sup>. The project's RRF includes at least one SP output indicator, if relevant. *(both must be true)*
- **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.

The project outputs are in line with UNDP Strategic Plan 'Outcome 3: Resilience built to respond to systemic uncertainty and risk (2022-2025). The project adapts Signature Solution 3: Resilience (2022-2025). The project will contribute to SP Output indicator 3.1.1. i.e. Number of risk-informed development strategies and plans in place at: regional level, national level, sub-national level, sectoral level

2

**Evidence  
Prodoc: pg 1**

## Annex - I

<p><b>3. Is 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)</b></p> <p>Under the UNDP Country Programme Document (2018-2022), the project will contribute to Outcome 2 “Enhanced resilience and socioeconomic development of communities”, and more specifically its Output 6.3: “Legal and regulatory frameworks and policies are in place, and institutions capacitated for the conservation, sustainable use, inclusive access and benefit-sharing of natural resources, biodiversity, chemicals, waste management and ecosystems”. The project responds to development settings (Outcome 3) and signature solution (3) of SP.</p>	<p>Yes Evidence : Prodoc: pg 1</p>	
<b>RELEVANT</b>		
<p><b>4. Does the project target groups left furthest behind?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The target groups are clearly specified, prioritising discriminated and marginalized groups left furthest behind, identified through a rigorous process based on evidence.</li> <li>• <b>2:</b> The target groups are clearly specified, prioritizing groups left furthest behind.</li> <li>• <b>1:</b> The target groups are not clearly specified.</li> </ul> <p><i>*Note: Management Action must be taken for a score of 1. Projects that build institutional capacity should still identify targeted groups to justify support</i></p> <p>The project outcomes and outputs will benefit mountain communities living in fragile valley slopes, also those dwelling in the valley bottom and depending upon agriculture, and in general the farmers in further downstream areas. The findings will help decision makers in making informed decisions at regional and national level (including the staff of met department, disaster management authorities, agriculture department).</p> <p>The project has a clearly defined geographic focus on Glaciers in the Gilgit-Baltistan region (including the valleys of Gilgit, Hunza, Nagar, Skardu, Shigar, Khaplu). The project will focus on at least 4 glaciers in this region, that will be selected based on previous work and current project being undertaken and after consultation with relevant stakeholders.</p> <p>Direct beneficiaries of the knowledge created and capacity building activities will be the Government of Gilgit-Baltistan (the GB Met Department, GB DMA, GB P&amp;D, KIU) and Government of Pakistan (Pakistan Met Department) including their other relevant departments e.g. the water management department, agriculture department. Indirect beneficiaries include WMO and the global scientific community working on glaciology, climate change and meteorology.(Prodoc: pg 8)</p> <p>For further details of direct and indirect beneficiaries and their engagement refer to Section D of the project document.</p>	<p style="text-align: center;">2</p> <p><b>Evidence Prodoc: Pg 8-11</b></p>	
<p><b>5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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.</li> <li>• <b>2:</b> The project design mentions knowledge and lessons learned backed by evidence/sources, but have not been used to justify the approach selected.</li> <li>• <b>1:</b> 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.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p> <p>The project is a logical sequence to the previous glacier inventory undertaken in 2013 of the glaciers located in the designated mountain protected area of Central Karakoram National Park, undertaken by experts from Italian University of</p>	<p style="text-align: center;">2</p> <p><b>Evidence Prodoc:Project management (pg: 13)</b></p> <p><b>Glacial Inventory in CentralKarakora m National Park, Pakista</b></p>	

<sup>1</sup> 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

<sup>2</sup> 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.

## Annex - I

<p>Milan and the EVK2-CNR Association. The current inventory will consider major glacier resources of the GB region. Similarly, previous network of high altitude meteorology observatories, currently being maintained jointly by the Pakistan Met Department and the EVK2-CNR Association will be upgraded and expanded. The current project has been planned in close consultation with all these experts and stakeholders involved in previous work. In addition, consultations have been undertaken with Karakoram International University, University of Baltistan, and other relevant departments. (Prodoc: pg 13)</p>	
<p><b>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?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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></li> <li>• <b>2:</b> 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.</li> <li>• <b>1:</b> 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.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p> <p>Role of other partners from government, private and civil society has been considered, for reference please see Section B of the Project Document. The UNDP will play role to develop partnership platform to engage local, regional, national and international actors for the planned tasks. With engagement of Italian universities and their experts to local universities in GB area and the relevant departments, the UNDP will inculcate mutual sharing and exchange of knowledge and resources and building capacities. UNDP will thus strengthen its role as a change leader and trusted partner in development at country level also</p> <p>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 (Prodoc: pg 9)</p>	<p style="text-align: right;">2</p> <p style="text-align: center;"><b>Evidence</b></p> <p style="text-align: center;"><b>Prodoc: Potential Proposed Partnerships (pg: 9)</b></p>
<b>PRINCIPLED</b>	
<p><b>7. Does the project apply a human rights-based approach?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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></li> <li>• <b>2:</b> The project is guided by human rights by prioritizing accountability, meaningful 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></li> <li>• <b>1:</b> 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.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p> <p>All human beings, irrespective of their geographical living area, have the basic right to live in and enjoy a safe, clean and sustainable environment. Communities living in the high altitude zone of Gilgit-Baltistan are living in fragile environmental conditions laden with risks e.g. GLOFs, landslides, droughts and loss of biological resources. People living in the downstream area are facing risk of floods and droughts because of glacier melting due to global warming. The planned project recognizes the rights of all these communities, and without any discrimination to community groups or geographical area, intends to target glacier at high risk, and thus making efforts to safe-guard the basic right</p>	<p style="text-align: right;">2</p> <p style="text-align: center;"><b>Evidence</b> <b>SESP</b></p>

## Annex - I

<p>of upstream and downstream communities to live a safe and sustainable environment free of risks and access to information on potential risks factors. (SESP)</p> <p>The enhanced capacities and knowledge of departmental staff will contribute to their ability to respond to potential risk factors and make informed decisions to ensure a safe living environment and access to water resources on sustainable basis.</p>							
<p><b>8. Does the project use gender analysis in the project design?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> 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></li> <li><b>2:</b> 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></li> <li><b>1:</b> 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.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p> <p>Management Action: Project will ensure to collect gender disaggregated data during mapping/survey exercises planned under output 1 of the project. Based on the gender sensitive data of communities including women, PWD etc. relevant recommendations to be provided to the provincial/regional government departments for policy implementation.</p>	<table border="1"> <tr> <td data-bbox="1312 359 1430 415"></td> <td data-bbox="1430 359 1507 415"></td> </tr> <tr> <td colspan="2" data-bbox="1312 415 1507 443" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" data-bbox="1312 443 1507 940" style="text-align: center;"> <b>Evidence Prodoc: Result framework (Pg: 16-18),  SESP</b> </td> </tr> </table>			1		<b>Evidence Prodoc: Result framework (Pg: 16-18),  SESP</b>	
1							
<b>Evidence Prodoc: Result framework (Pg: 16-18),  SESP</b>							
<p><b>9. Did the project support the resilience and sustainability of societies and/or ecosystems?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> 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>.</li> <li><b>2:</b> 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></li> <li><b>1:</b> Sustainability and resilience dimensions and impacts were not adequately considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p> <p>The primary objective of the project is to advance environmental sustainability. Creating knowledge resources on environmental hazards, risk factors and building capacities to cope with challenges are contributing to the sustainability of the environment and enhanced resilience of local communities and institutional framework. Social and environmental screening procedure has been conducted for the project and has been annexed to the project document. (SESP)</p>	<table border="1"> <tr> <td data-bbox="1312 940 1430 997"></td> <td data-bbox="1430 940 1507 997" style="text-align: center;">2</td> </tr> <tr> <td colspan="2" data-bbox="1312 997 1507 1499" style="text-align: center;"> <b>Evidence ProDoc: Risk Management (pg: 28)  SESP</b> </td> </tr> </table>		2	<b>Evidence ProDoc: Risk Management (pg: 28)  SESP</b>			
	2						
<b>Evidence ProDoc: Risk Management (pg: 28)  SESP</b>							
<p><b>10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?</b> The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p> <p>Social and environmental screening procedure has been conducted for the project and has been annexed to the project document</p>	<table border="1"> <tr> <td data-bbox="1312 1499 1430 1545" style="text-align: center;">Yes</td> <td data-bbox="1430 1499 1507 1545"></td> </tr> <tr> <td colspan="2" data-bbox="1312 1545 1507 1751" style="text-align: center;">SESP</td> </tr> </table>	Yes		SESP			
Yes							
SESP							
<b>MANAGEMENT &amp; MONITORING</b>							
<p><b>11. Does the project have a strong results framework?</b></p>	<table border="1"> <tr> <td data-bbox="1312 1814 1430 1850" style="text-align: center;">3</td> <td data-bbox="1430 1814 1507 1850"></td> </tr> <tr> <td colspan="2" data-bbox="1312 1850 1507 1875"></td> </tr> </table>	3					
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<ul style="list-style-type: none"> <li>• <b>3:</b> 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></li> <li>• <b>2:</b> 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></li> <li>• <b>1:</b> 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></li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p> <p>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. Project RRF can be referred.</p>	<p><b>Evidence</b></p> <p><b>Prodoc :</b></p> <p>Results framework (pg: 16)</p>
<p><b>12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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>.</li> <li>• <b>2:</b> 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></li> <li>• <b>1:</b> 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.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p> <p>The project will be implemented through NGO Execution Modality, as described in the UNDP Programme and Operations Policies and Procedures (POPP). A carefully constituted Project Board will be responsible for making important management decisions by consensus to provide oversight on strategic matters, approve work plans and validate project progress. The Project Board decisions will be made in accordance with standards that shall ensure best value to money, fairness, integrity, transparency and effective competition. Project Board composition will be finalized as soon as project implementation begins.</p>	<p style="text-align: center;">1</p> <p><b>Evidence</b></p> <p><b>ProDoc:</b></p> <p><b>Governance and management arrangements (pg: 26)</b></p>
<p><b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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></li> <li>• <b>2:</b> 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.</li> <li>• <b>1:</b> 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.</li> </ul> <p>*Note: Management Action must be taken for a score of 1</p> <p>Risks have been identified, risk management and mitigation measures have also been described, in consultation with stakeholders and lessons learnt from previous projects in the same area and with similar goals. See relevant Annex 3 to the ProDoc (Risk Log).</p>	<p style="text-align: center;">2</p> <p><b>Evidence</b></p> <p><b>Project Risk log (Annex- III)</b></p>

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EFFICIENT	
<p><b>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.</b></p> <p><i>(Note: Evidence of at least one measure must be provided to answer yes for this question)</i></p> <p>The project will not take a start from zero, but build on previous work and methodology established under the project on Glacier Inventory of CKNP Project. Similarly, the climate monitoring will take a start from supplementing the existing network of met observatories being maintained by the Met department and the EvK2-CNR. On the other hand, the project will have a close liaison and coordination with other projects e.g. GLOF-II project of the UNDP, the relevant departments of the Karakoram International University and other actors in the field to complement each other. The Cost efficiency and effectiveness of the project has been well defined in Section IV (Project Management) pg: 13 of the Project Document.</p>	Yes (3)
<p><b>15. Is the budget justified and supported with valid estimates?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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.</li> <li>• <b>2:</b> 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.</li> <li>• <b>1:</b> The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.</li> </ul> <p>Estimates are based on UNDP and Italian Cooperation experiences of implementing similar initiatives in the area. See Work-plan and Budget (Section VII, Multi-year Workplan) for relevant details.</p>	2
<p><b>16. Is the Country Office/Regional Hub/Global Project fully recovering the costs involved with project implementation?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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.)</li> <li>• <b>2:</b> The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> <li>• <b>1:</b> The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.</li> </ul> <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> <p>The project will be implemented through NGO Execution Modality, as described in the UNDP Programme and Operations Policies and Procedures (POPP). All relevant cost-recovery fees (GMS, DPC etc.) have been budgeted for (Section VII, Multi-year workplan). In addition, Coordination Levy (1%) has also been budgeted in the work plan. (Prodoc pg: 26)</p>	3
EFFECTIVE	
<p><b>17. Have targeted groups been engaged in the design of the project?</b></p>	2

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<ul style="list-style-type: none"> <li>• <u>3</u>: 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.)</li> <li>• <u>2</u>: Some evidence that key targeted groups have been consulted in the design of the project.</li> <li>• <u>1</u>: No evidence of engagement with targeted groups during project design.</li> </ul> <p>The project has been designed based on consultations with key stakeholders including the experts of relevant government departments (forest, agriculture, meteorology, water management), research institutions (Karakoram International University, University of Baltistan) and civil society organizations working in the field. In addition, feedback from local marginalized groups related to risks and hazards (e.g. GLOFs, landslides, floods etc) and the subsequent damages to life and property received from time to time during the implementation of various other current and previous projects form the rationale and base for this project and have been accounted for in the design of this project. (Stakeholder Engagement pg:11)</p>	<b>Evidence Prodoc: Partners and Stakeholders (pg: 11)</b>					
<p><b>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?</b></p> <p>There is a detailed M&amp;E plan for the project. In accordance with UNDP Evaluation Policy guidelines, a mid-term evaluation is planned and funding allocated (particularly in view of potential future funding). Findings of regular monitoring activities (quarterly, annual) will feed into QPRs and APRs, for possible course correction.</p>	Yes (3)					
<p><b>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.</b></p> <p>*Note: Management Action or strong management justification must be given for a score of “no”</p> <p>Management Action: The vulnerable communities will be ultimately benefitting from the more responsive disaster management systems and capacity of the duty bearers. However, during the research studies a particular focus will be given to the vulnerable communities and collection of disaggregated data.</p>		No				
<b>SUSTAINABILITY &amp; NATIONAL OWNERSHIP</b>						
<p><b>20. Have national/regional/global partners led, or proactively engaged in, the design of the project?</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: 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.</li> <li>• <u>2</u>: The project has been developed by UNDP in close consultation with national/regional/global partners.</li> <li>• <u>1</u>: The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul> <p>At design stage, the Government of Gilgit Baltistan, Ministry of Climate Change and Economic Affairs Division have been consulted. They have shared their consent supporting the project.</p>	<table border="1"> <tr> <td data-bbox="1312 1199 1430 1241"></td> <td data-bbox="1430 1199 1507 1241">2</td> </tr> <tr> <td colspan="2" data-bbox="1312 1241 1507 1545"> <b>Evidence Prodoc: Results and Partnerships (pg: 6)</b> </td> </tr> </table>			2	<b>Evidence Prodoc: Results and Partnerships (pg: 6)</b>	
	2					
<b>Evidence Prodoc: Results and Partnerships (pg: 6)</b>						
<p><b>21. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted?</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: 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.</li> <li>• <u>2</u>: 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.</li> <li>• <u>1</u>: Capacity assessments have not been carried out.</li> </ul>	<table border="1"> <tr> <td data-bbox="1312 1545 1430 1587"></td> <td data-bbox="1430 1545 1507 1587">2</td> </tr> <tr> <td colspan="2" data-bbox="1312 1587 1507 1892"> <b>Evidence Stakeholder engagement (Prodoc Page 11), HACT micro assessment EvK2CNR Italy</b> </td> </tr> </table>			2	<b>Evidence Stakeholder engagement (Prodoc Page 11), HACT micro assessment EvK2CNR Italy</b>	
	2					
<b>Evidence Stakeholder engagement (Prodoc Page 11), HACT micro assessment EvK2CNR Italy</b>						

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<p>Capacity building of relevant staff of the concerned departments (GB Met Department, GB DMA) is an in-built factor throughout the project. Through their engagement in data collection, and through sharing scientific knowledge with them, their capacities will be enhanced to understand the glacier inventory and high-altitude climate monitoring systems. In addition, there is a component for capacity building of students and faculty of local universities (Karakoram International University). HACT assessment of EvK2CNR is conducted as Implementing Partner and overall ranked as Low.</p>		
<p><b>22. Is there 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?</b></p> <p>The project is implemented through NGO execution Modality, as described in the UNDP Programme and Operations Policies and Procedures (POPP). but will be implemented through close involvement of national stakeholders. (Prodoc pg: 26-27)</p>	Yes (3)	
<p><b>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)?</b></p> <p>The project will develop glacier inventory and climate monitoring systems, mechanism for data archiving, sharing and updating, and also build capacities of local stakeholders in all these fields. The Geoshare network maintained in GB Government Department or the local university will be owned by the relevant authority and will be used for longer term data archiving and data sharing. The Glaciology Center at Karakoram International University will be established that will take the lead in continuing glaciers monitoring and assessment related activities in consultation with international universities and provide data and technical guidance to the concerned government authorities on technical terms. The systems in post-project times will be owned, maintained and operated by the departments (e.g. Meteorology)</p>	Yes (3)	



## Annex [II]. Social and Environmental Screening

### Project Information

<b>Project Information</b>	
1. Project Title	Glaciers and Students - A scientific-based approach to monitor climate and glaciers in Pakistan Mountain Regions to support hydrogeological risk prevention.
2. Project Number (i.e. Atlas project ID, PIMS+)	00144462
3. Location (Global/Region/Country)	Pakistan
4. Project stage (Design or Implementation)	Design
5. Date	June 07, 2022

### 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***

All human beings, irrespective of their geographical living area, have the basic right to live in and enjoy a safe, clean, and sustainable environment. Communities living in the high-altitude zone of Gilgit-Baltistan are living in fragile environmental conditions laden with risks e.g., GLOFs, landslides, droughts, and loss of biological resources. People living in the downstream area are faced with the risk of floods and droughts because of glacier melting due to global warming. The planned project recognizes the rights of all these communities, and without any discrimination to community groups or geographical area, intends to target glacier at high risk, and thus making efforts to safe guard the basic right of upstream and downstream communities to live a safe and sustainable environment free of risks and access to information on potential risks factors.

The enhanced capacities and knowledge of departmental staff will contribute to their ability to respond to potential risk factors and make informed decisions to ensure a safe living environment and access to water resources for all communities irrespective of gender, age, social status and economic and political position on sustainable basis.

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

The project is based on research and measurements in high altitude glacier resources and the meteorology activities. The project will generate knowledge resources and data bases that could be used to identify potential hazards, improve planning capabilities and reduce the potential damage from environmental hazards. However, it is evident that in mountain valleys of Gilgit-Baltistan, the women groups are more vulnerable to mountain hazards. Hence the project contributes to reducing risks of mountain hazards for women. With increased and safe access to water resources which are not contaminated with the, their role in livelihood improvement of their households will be enhances and they will feel more empowered.

The information on gender aspects has been derived from current and previous projects of UNDP implemented in the same area including Mountain Protected Areas Programme, GLOF-II, Snow leopard protection project. The same knowledge has been used in identifying the development challenge and defining the strategy to cope with.

<p>The project itself is based on improving the resilience capacity in the area and encouraging the role of female students in the research. Moreover, the project is not implemented directly in the communities but the ultimate beneficiaries of the interventions will be local communities with reduced vulnerability to glaciers related hazards.</p>
<p><b>Briefly describe in the space below how the project mainstreams sustainability and resilience</b></p>
<p>The primary objective of the project is to advance environmental sustainability. Creating knowledge resources on environmental hazards, risk factors and building capacities to cope with challenges are contributing to the sustainability of the environment and enhanced resilience of local communities and institutional framework. Better knowledge and evidence on glacier melting, changing patterns of climatic factors, and establishing their mutual correlation, will contribute to better decision making for the environment and management of environmental resources. At the same time, establishing a GIS knowledge base, and increased capacities of the departmental staff will lead to sustainability of the changes introduced in the system.</p> <p>The engagement of universities, departments (e.g., meteorology department, water management department) will lead to sustainability as these entities will own the project interventions after project closure.</p>
<p><b>Briefly describe in the space below how the project strengthens accountability to stakeholders</b></p>
<p>The project will be operated under NGO-Execution where EvK2-CNR has been selected as Implementing Partner which will be accountable and responsible for the implementation, monitoring, reporting of results and resources in accordance with NGO-Execution modality of UNDP. In accordance with NGO-Execution Modality, UNDP Pakistan will provide quality assurance and oversight role in accordance with UNDP Programme and Operations Policies and Procedure (POPP). The project board will act as governing body and relevant key stakeholders will be apprised periodically about the progress on activities. The Board will provide oversight to the project through annual review of progress, risks, lessons learnt and alignment to the overall project goal.</p>

**Part B. Identifying and Managing Social and Environmental Risks**

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b>  <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b>  <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i></p>			<p><b>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</b></p>
<p><b>Risk Description (broken down by event, cause, impact)</b></p>	<p><b>Impact and Likelihood (1-5)</b></p>	<p><b>Significance (Low, Moderate, Substantial, High)</b></p>	<p><b>Comments (optional)</b></p>	<p><b>Description of assessment and management measures for risks rated as Moderate, Substantial or High</b></p>
<p>Risk 1: If concerned departments lacking in technical and human resource capacities may result in delays in completing the project activities.</p> <p><b>Principles 1: Human Rights</b></p> <p><b>Q.5:</b> Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?</p>	<p>I = 3 L = 2</p>	<p><b>Moderate</b></p>	<p>Specific skills related to glacier inventory are required to carry out the project activities</p>	<p>International experts from the Universities of Cagliari and Millan shall be engaged who have already worked in these areas and have ample experience. Not only these research institutes will be responsible for quality project output but as well as the capacity building of local stakeholders/departments in relevant fields. The GB EPA, met department and local university staff will be closely engaged in field operations and knowledge management through Glaciology Center established at the Karakoram International University</p>

<p>Risk 2: Due to cultural/religious reasons there is a risk that selection/participation of women in the project activities is limited Principle 2: Gender Equality and Women's Empowerment</p> <p><b>P.10</b> reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?</p>	<p>I=2 L=2</p>	<p><b>Low</b></p>		<p>1: selection criteria of research projects/research students /vendor is transparent and without gender / women bias 2. research/survey teams are given training on collecting gender-sensitive data during survey of communities near glacial sites</p>
<p>Risk 3: The project involves activities on glaciers that are within or adjacent to Protected Areas (National Parks)</p> <p><b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b></p> <p>Q 1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g., nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</p>	<p>I = 3 L = 3</p>	<p><b>Moderate</b></p>	<p>Activities by implementing teams and international experts only (supported by porters and guides)</p>	<p>SOPs shall be developed according to the management and operational plans of CKNP designed by EVK2CNR and other relevant government department for working in environmentally sensitive areas. EVK2CNR will ensure compliance to these SOPs and every scientific mission to such sensitive areas shall be briefed by concerned government department staff and EVK2CNR will ensure the compliance report after such missions. The government's related policies and strategies will also be consulted before initiating field activities.</p>
<p>Risk 4: If the risk from extreme weather conditions, earthquakes, landslides, floods etc arise may hamper the project interventions</p> <p><b>Standard 2: Climate Change and Disaster Risks</b></p> <p>2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?</p>	<p>I=2 P=3</p>	<p><b>Low</b></p>		<p>Meteorological forecasts will be closely monitored before planning field activities by EVK2CNR and a record of such forecasts will be made part of mission reports submitted to UNDP as part of monitoring data.</p> <p>EVK2CNR will ensure close liaison with community and government departments before proceeding on field trips and maintain record of such regular coordination.</p> <p>In case of floods, landslides and road closures, the alternate routes shall be adopted.</p> <p>Local guides from the nearest project sites shall be involved for maintenance and data collection from AWS as a mitigation plan to avoid teams travelling in extreme weather conditions.</p>

<p>Risk 5: Output 1 of the project will get severely and negatively impacted in the event of climate change induced disaster in the glacial sites which will hamper great deal collection of glacial inventory data</p> <p><b>Standard 2: Climate Change and Disaster Risks</b></p> <p>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></p>				<p>EVK2CNR will closely work in coordination with local communities and local disaster management authorities to mitigate this risk and in case such situation arises then EVK2CNR will promptly inform UNDP as well as relevant stakeholders to identify way forward.</p>
<p>Risk 6: If health risks arise due to COVID-19 or any other pandemic may result in a delay in completing the project interventions</p>	<p>I=2 L=2</p>	<p><b>Low</b></p>	<p>Movement of project personnel and experts for data collection in the field may be affected due to restrictions imposed by government agencies</p>	<p>Covid vaccination will be mandatory for all the project staff and personnel involved and they will be bound to abide by the SoPs notified by the GB government.</p>
<p>Risk 7: Given that the project will involve travel to disaster-prone sites, there is a risk that academic institutions and private sector staff are not paid in accordance with national labour laws and international commitments particularly research students who are not considered as employees. Also working conditions may not be feasible for these students and private sector staff to travel to the glacial sites.</p> <p><b>Standard 7: Labour and Working Conditions</b></p> <p>7.5 discriminatory working conditions and/or lack of equal opportunity? 7.6: Occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?</p>	<p>I=3 L=3</p>	<p><b>Moderate</b></p>		<p>EVK2CNR to ensure:</p> <ol style="list-style-type: none"> <li>1: selection criteria of research projects/research students /vendor is transparent and without gender/ethnicity/religious bias</li> <li>2. research/survey teams are with proper safety gear/equipment</li> <li>3. research/survey teams are given training on prevention of sexual exploitation and abuse and harassment</li> </ol>

QUESTION 4: What is the overall project risk categorization?			
<b>Low Risk</b>	<input checked="" type="checkbox"/>	Project includes activities with minimal or no adverse social or environmental risks and impacts. Further assessment of potential adverse social and environmental risks and impacts is not required. However, the SES Programming Principles and stakeholder engagement requirements still apply to project activities.	
<b>Moderate Risk</b>	<input type="checkbox"/>		
<b>Substantial Risk</b>	<input type="checkbox"/>		
<b>High Risk</b>	<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			
<b><u>Is assessment required? (check if "yes")</u></b>	<input type="checkbox"/>		<b>Status? (completed, planned)</b>
<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)
<b><u>Are management plans required? (check if "yes")</u></b>	<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)
<b><u>Based on identified risks, which Principles/Project-level Standards triggered?</u></b>		<b>Comments (not required)</b>	
<b>Overarching Principle: Leave No One Behind</b>			
<b>Human Rights</b>	<input checked="" type="checkbox"/>		
<b>Gender Equality and Women's Empowerment</b>	<input checked="" type="checkbox"/>		
<b>Accountability</b>	<input type="checkbox"/>		

	<b>1. Biodiversity Conservation and Sustainable Natural Resource Management</b>	<input checked="" type="checkbox"/>	
	<b>2. Climate Change and Disaster Risks</b>	<input checked="" type="checkbox"/>	
	<b>3. Community Health, Safety and Security</b>	<input type="checkbox"/>	
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>	
	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	
	<b>7. Labour and Working Conditions</b>	<input checked="" type="checkbox"/>	
	<b>8. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	

## Final Sign Off

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

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

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		
<b>INSTRUCTIONS:</b> 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 <a href="#">SES toolkit</a> for further guidance on addressing screening questions.		
<b>Overarching Principle: Leave No One Behind</b>		<b>Answer (Yes/No)</b>
<b>Human Rights</b>		
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?	Yes
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>		No
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? <sup>1</sup>	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
<b>Gender Equality and Women's Empowerment</b>		
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?	Yes
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 power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	No

<sup>1</sup> 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.

<b>Sustainability and Resilience:</b> Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
<b>Accountability</b>		
<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
<b>Project-Level Standards</b>		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
<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>	No
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)	No
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	No
1.7	adverse impacts on soils?	No
1.8	harvesting of natural forests, plantation development, or reforestation?	No
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>	No
1.12	handling or utilization of genetically modified organisms/living modified organisms? <sup>2</sup>	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) <sup>3</sup>	No
1.14	adverse transboundary or global environmental concerns?	No
<b>Standard 2: Climate Change and Disaster Risks</b>		
<i>Would the project potentially involve or lead to:</i>		

<sup>2</sup> See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

<sup>3</sup> See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.



2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	Yes
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>	Yes
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
<b>Standard 3: Community Health, Safety and Security</b>		
<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
<b>Standard 4: Cultural Heritage</b>		
<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
<b>Standard 5: Displacement and Resettlement</b>		
<i>Would the project potentially involve or lead to:</i>		No
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? <sup>4</sup>	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
<b>Standard 6: Indigenous Peoples</b>		
<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
<b>Standard 7: Labour and Working Conditions</b>		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		No
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?	Yes
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	Yes

<sup>4</sup> 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.

<b>Standard 8: Pollution Prevention and Resource Efficiency</b>		
<i>Would the project potentially involve or lead to:</i>		No
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 <a href="#">Montreal Protocol</a>, <a href="#">Minamata Convention</a>, <a href="#">Basel Convention</a>, <a href="#">Rotterdam Convention</a>, <a href="#">Stockholm Convention</a></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

## OFFLINE RISK LOG



<b>Project Title:</b> Glaciers and Students - A scientific based approach to monitor climate and glaciers in Pakistan Mountain Regions to support hydrogeological risk prevention.	<b>Award ID:</b> 00144462	<b>Date:</b> May 24, 2022
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#	Description	Date Identified	Type	Impact & Probability	Risk Treatment / Management Measures	Owner	Submitted, updated by	Last Update	Status
1	Risk 1: If concerned departments lacking in technical and human resource capacities may result in delays in completing the project activities (SES Risk 1)	May 2020	Organizational	I = 3 P = 2	International experts from the Universities of Cagliari and Millan shall be engaged who have already worked in these areas and have ample experience. Not only these research institutes will be responsible for quality project output but as well as the capacity building of local stakeholders/departments in relevant fields. The GB EPA, met department and local university staff will be closely engaged in field operations and knowledge management through Glaciology Center established at the Karakoram International University	Project Manager	Project Manager	Sept 2021	Not Started
2	Risk 2: The project involves activities on glaciers that are within or adjacent to Protected Areas (National Parks) (SES Risk 3)	May 2020	Environmental	I = 3 P = 3	SOPs shall be developed according to the management and operational plans of CKNP designed by EVK2CNR and other relevant government department for working in environmentally sensitive areas. EVK2CNR will ensure compliance to these SOPs and every scientific mission to such sensitive areas shall be briefed by concerned government department staff and EVK2CNR will ensure the compliance report after such missions. The government's related policies and strategies will also be consulted before	Project Manager	Project Manager	October2021	Not Started

					initiating field activities.				
3	Risk 3: Risk from extreme weather conditions, land slides, floods etc. may hamper project interventions (SES Risk 4)	May 2020	Operational	I = 2 P = 3	<p>Meteorological forecasts will be closely monitored before planning field activities by EVK2CNR and a record of such forecasts will be made part of mission reports submitted to UNDP as part of monitoring data.</p> <p>EVK2CNR will ensure close liaison with community and government departments before proceeding on field trips and maintain record of such regular coordination.</p> <p>In case of floods, landslides and road closures, the alternate routes shall be adopted.</p> <p>Local guides from the nearest project sites shall be involved for maintenance and data collection from AWS as a mitigation plan to avoid teams travelling in extreme weather conditions.</p>	Project Manager	Project Manager	October 2021	Not Started
4	Risk 4: If health risks arise due to COVID-19 or any other pandemic may result in a delay in completing the project interventions (SES Risk 6)	May 2020	Other (Health)	I = 2 P = 2	<p>Covid vaccination will be mandatory for all the project staff and personnel involved and they will be bound to abide by the SoPs notified by the GB government.</p> <p>SOPs and vaccinate themselves.</p>	Project Manager	Project Manager	October 2021	Not Started
5	Risk 5: Due to cultural/religious	April 2022	Technical	I = 2 P = 2	1: selection criteria of research	Project Manager	Project Manager	April 2022	Not Started


	reasons there is a risk that selection/participation of women in the project activities is limited (SES Risk 2)				projects/research students /vendor is transparent and without gender / women bias 2. research/survey teams are given training on collecting gender-sensitive data during survey of communities near glacial sites				
6	Risk 6: If law and order concerns arise, may lead to security risks for the project personnel and delays in project interventions	June 2020	Operational	I=1 P=1	Gilgit Baltistan is a peaceful region but the project document will be shared with GB Home Department for their information and consent. Close liaison will be maintained with security personnel in the region and they will be consulted for field activities and movement in the field. Proper formalities for the ex-pats movement e.g. NOCs will be fulfilled. Security personnel shall be hired for the protection of project equipment and property.	Project Manager and IP	Project Manager	October 2021	Not Started
7	Risk 7: If technical issues in AWS arise, may lead to delays in the acquisition of data	October 2021	Technical	I=2 P=1	Practical training to the stakeholders on regular system maintenance will be arranged through international experts for concerned staff of EPA- GB/ CKNP. The trained staff shall remain in close proximity to the installation sites. Moreover, there will be data downloading options both online and manually, and services of trained guides from the nearest valleys will be employed for this purpose.	Project Manager and IP	Project Manager	October 2021	Not Started
8	Risk 8: If required NOCs/permits are	October 2021	Legal / Regulatory	I=2 P=1	The process of required permissions shall start well before the	Project Manager	Project Manager	October 2021	Not Started

	not issued in due time, may lead to delays in project activities				implementation of specific project interventions. The site-specific intervention and requirements will be discussed with GB EPA, Parks and Wildlife Department, CKNP Directorate and tourism department so that all requirements could be completed in due time.				
9	Risk 9: Given that the project will involve travel to disaster-prone sites, there is a risk that academic institutions and private sector staff are not paid in accordance with national labour laws and international commitments particularly research students who are not considered as employees. Also working conditions may not be feasible for these students and private sector staff to travel to the glacial sites. (SES Risk 7)	April 2022	Operational/Labour and Working Conditions	I=3 P=3	EVK2CNR to ensure: 1: selection criteria of research projects/research students /vendor is transparent and without gender/ethnicity/religious bias 2. research/survey teams are with proper safety gear/equipment 3. research/survey teams are given training on prevention of sexual exploitation and abuse and harassment	Project Manager	Project Manager	April 2022	Not Started
10	Risk 10: The IP does not have a	April 2022	Technical	I=3 P=3	1. EvK2CNR will be requested/update its HR manual clearly articulating the	Project Manager	Project Manager	April 2022	Not Started

	clear mechanism for its staff, partners, contractors, beneficiaries to report grievances relating to PSEA/SH				<p>process for Sexual exploitation/abuse related grievance redress mechanism at their workplace.</p> <p>2. EvK2CNR to ensure its partners, contractors are aware of their obligations towards ensuring sexual exploitation, abuse, harassment policies, procedures are understood and adhered with for the implementation of UNDP funded activities.</p> <p>3. EvK2CNR will ensure to conduct trainings for its staff, partners, contractors on PSEA/SH.</p> <p>4. EvK2CNR will report to UNDP any PSEA/SH complain it receives from downstream beneficiaries, communities, research students working on UNDP projects</p>				
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<b>Partner Capacity Assessment Tool - Introduction &amp; Overview</b>		
<b>Background:</b> This Partner Capacity Assessment Tool (PCAT) is designed to streamline UNDP's approach to capacity assessments of project Implementing Partners (IPs) and Responsible Parties (RPs). It does this by consolidating all of the existing partner capacity assessment checklists, and eliminating duplicative questions and questions that don't add value. The PCAT also saves time by: (i) providing rapid guidance on which capacity assessments will ensure project risks are identified; and (ii) generating a summary report of the resulting risk assessments, risk mitigation actions and associated budgets for inclusion in the Project Document. The PCAT also includes capacity assessments for new programming instruments, including On-Granting and Performance-Based Payment Agreements.		
<b>Purpose:</b> The UNDP Enterprise Risk Management (ERM) Policy identifies 'Capacities of the Partners' as a key Strategic Risk to be managed for the success of UNDP's work. The PCAT is designed to assess the level of risk that is present when UNDP works with Partners to implement programmes and projects. The level of risk is identified by analyzing partner capacity and matching project management and oversight with the level of risk assessed. By identifying areas for capacity improvement, the PCAT should also help to reduce future Partner risk levels if the capacity building actions are implemented and sustained.		
<b>Applicability:</b> The PCAT is applicable to all Partners, including IPs and RPs, in all contexts, including crisis contexts. It also applies to Grantees for determining eligibility to receive a grant. The PCAT outlines the minimum requirements for capacity assessments based on UNDP thresholds (such as USD 150,000 per annum for HACT). This does not preclude offices doing additional capacity assessments for Partners that fall below the thresholds should they consider this to be beneficial for their office.		
<b>Responsibility and Timing:</b> The PCAT should be completed by the Project Developer as soon as possible during the Project Design phase, with HACT Micro-Assessment inputs from the Third-Party Service Provider where required. The PCAT generates a summary of the results of the Partner capacity assessments that can be attached to the Project Document, eliminating the need to write long-form/narrative reports on capacity assessment results.		
<b>How to Use the PCAT: Follow these 4 steps:</b>		
<b>Step 1: Review Pre-Requisites for Partnering:</b>	Start the PCAT with 'Pre-Requisites for Partnering.' Here you will enter background information about your office and the Partner, and then review 5 questions to assess whether the Partner meets certain basic criteria for partnering with UNDP (such as not being on UN Sanctions, UNDP Vendor Sanctions or UN Global Marketplace Ineligibility Lists). If the Partner meets the 'Pre-Requisites for Partnering,' you will then move to the next section 'Capacity Assessment Scoping.' If the Partner does not meet the 'Pre-Requisites for Partnering,' you will be advised to do no further assessments as the Partner cannot work with UNDP.	<a href="#">Go to Pre-Requisites for Partnering</a>
<b>Step 2: Complete Capacity Assessment Scoping</b>	The PCAT is a dynamic tool that will display only the capacity assessments you need based on the answers you provide to 10 'assessment scoping' questions. These questions include: (i) whether or not this is a humanitarian project for which a rapid capacity assessment is needed; (ii) what role the Partner will fulfill on the project (IP vs RP vs Other); (iii) what type of organization the Partner is (Govt, CSO/NGO, Private Sector etc); (iv) whether the Partner is expected to receive more than USD 150,000 per annum; (v) whether a HACT Micro-Assessment has been done; (vi) whether the Partner will be managing construction activities; (vii) whether the Partner will undertake grant-making activities on behalf of UNDP (on-granting); (viii) whether the Partner will be implementing activities funded by Global Environment Facility (GEF) or Green Climate Fund (GCF); (ix) in the case of RPs, whether a Performance-Based Payment Agreement (PBPA) will be used for the project; and (x) whether the PBPA will exceed USD 150,000 per year. Your answers to these questions will determine which capacity assessments are displayed for completion. You will be provided with a link that will take you straight to the assessment(s) to be completed. Also, all of the background	<a href="#">Go to Capacity Assessment Scoping</a>
<b>Step 3: Complete the Capacity Assessment(s)</b>	Complete the capacity assessment(s) as needed. Based on the results of the capacity assessment and the level of assessed risk, you will be asked to identify risk mitigation strategies (such as capacity building actions and/or enhanced monitoring & assurance activities) and the associated budget required to implement those strategies.	Follow the links provided on the Capacity Assessment Scoping page
<b>Step 4: Conclude on the Capacity Assessment(s)</b>	The PCAT will automatically summarize the results of the completed capacity assessments, providing you with a concise document to attach to your Project Document.	<a href="#">Go to Conclude on Capacity Assessment</a>
<b>Optional: Additional Guidance Resources</b>	If you need additional guidance, review the IP and/or RP decision trees, which provide step-by-step overviews of the capacity assessments needed; or try the POPP Points to Remember for important points on HACT and on specific programme/project instruments, such as On-granting or Performance-Based Payment Agreements (PBPA)s.	<a href="#">IP Decision Tree</a> <a href="#">RP Decision Tree</a> <a href="#">HACT - POPP Points to Remember</a> <a href="#">On-Granting - POPP Points to Remember</a> <a href="#">PBPA's - POPP Points to Remember</a>

Partner Capacity Assessment Tool - Step 1: Pre-Requisites for Partnering - applicable to all Partners						
<a href="#">Return to PCAT Overview page</a>						
<b>Applicability:</b> This 'Pre-requisites for Partnering' section should be completed for all UNDP partners, regardless of whether they are IPs, RPs, Other Partners or grant recipients.						
<b>Responsibility &amp; Timing:</b> The Project Developer should complete this 'Pre-requisites for Partnering' as early as possible in the Project Design phase to ensure that the proposed partner is not a prohibited organization and does not engage in practices that are inconsistent with UNDP's social & environmental standards and code of ethics.						
Background Information (Enter this information here and it will be carried throughout the PCAT - no need to enter it again)						
Region	Asia Pacific	Comments: (Optional)				
Office	Pakistan	EvK2-CNR Association is an Italian Organization, with Head Quarter in Italy, and Country Office in Islamabad, Pakistan. They also have regional office in Gilgit-Baltistan.				
Programme Start	1-May-22					
Programme End	31-Dec-23					
Partner Name	EvK2CNR					
Partner budget for this Project	Euro 849,000 USD 1,002,898					
ERM Risk Category	Risk being addressed	Q. #	Pre-requisites for Partnering Questions	What to review to determine your response	Response	Action Needed
Regulatory (6.3, FRR)	Violation of UN sanctions	1	Is the organization listed on the Consolidated United Nations Security Council Sanctions List, the UNDP vendor sanctions list or the UN Global Marketplace Ineligibility List ?	<a href="#">UN Sanctions List</a> <a href="#">UNDP Vendor Sanctions List</a> <a href="#">UN Global Marketplace Ineligibility List (accessible to UNDP Buyer Roles)</a>	No	Continue to Question 2
						Comments
Strategic (7.5 Code of conduct & ethics), Social & Environmental (1.1-1.12)	Violation of programming principles and ethical standards	2	Is there any credible evidence that the organization persistently commits acts that violate: (i) UNDP's social and environmental standards (human rights, gender equality, labor conditions, environmental sustainability standards); or (ii) code of conduct/ethics standards to such an extent that UNDP's association with the organization cannot be adequately managed or justified?	* Internet/press search * Donor evaluations, assessments * Significant criticism from donors/CSOs/ media/social media or other significant partners of UNDP locally or globally * Significant criticism from governmental agencies / political parties that makes UNDP's partnering politically sensitive	No evidence found	No evidence been found through research on internet and press research. 5. Embedded in HR policy, you may find the employees code of conduct at serial No.9 (pages 32-33). 
Strategic (7.6 Public opinion & media)	Damage to UNDP's reputation	3	Has an internet/donor evaluation report search revealed any credible and significant adverse publicity or controversy about the organization that could damage UNDP's reputation by association to such an extent that the association cannot be adequately managed or justified?	* Recurring local or global public events against the organization (e.g. local demonstrations, online protests, etc) * Relevant legal case in progress/in court etc.	No adverse publicity found	No internet/donor evaluation report search revealed any credible and significant adverse publicity or controversy that could damage UNDP's reputation by association to such an extent that the association cannot be adequately managed or
Regulatory (6.3, FRR)	Absence of neutrality	4	If the Partner is a CSO/NGO or private sector organization, is there any credible evidence that the organization has political affiliations that could compromise UNDP's neutrality, perceived or actual, in a way that cannot be adequately managed and justified?		Select	
Financial (2.3 Corruption & Fraud); Strategic (7.5 Code of Conduct & Ethics)	Fraud, corruption and potential damage to UNDP's reputation	5	If there is a history of fraud and/or any potential Conflicts of Interest (Col) in relation to this organization, have they been reviewed and satisfactorily resolved or if not, can they be adequately managed or justified in the context of this specific project? (Consider such as issues as the organization employing any individual/s who is/are currently holding any position in UNDP or the UN OR any individual/s who is/are related by blood or affinity to any UNDP or UN staff member.)	* Internet/press search on fraud issues * Donor evaluations or assessments for fraud issues * Discussions and/or documents and/or written confirmation from the Partner disclosing conflicts of interest or such relationships	Select	
Conclusion on 'Pre-Requisites for Partnering' & Next Steps				Please answer all questions before proceeding		

### Partner Capacity Assessment Tool - Step 2: Capacity Assessment Scoping - applicable to all Partners

**Purpose:** This 'Capacity Assessment Scoping' tool is designed to assist you in identifying the Partner capacity assessments that will help manage risks stemming from UNDP's engagement with IPs, RPs or Other partners. It will lead you through a series of questions and based on your responses, indicate for you the capacity assessments that should be completed, including HACT Micro-Assessments.

**Applicability:** This 'Capacity Assessment Scoping' should be completed for all UNDP partners, regardless of whether they are IPs or RPs or Private Sector partners fulfilling other roles.

**Responsibility & Timing:** The Project Developer should complete this 'Capacity Assessment Scoping' as early as possible in the Project Design phase to ensure that the Capacity Assessments needed are identified early and arrangements made for their timely completion.

#### Background Information (carried forward from 'Partner Pre-requisites' worksheet)

Region	Asia Pacific	Comments: (Optional) EvK2-CNR Association is an Italian Organization, with Quarter in Italy, and Country Office in Islamabad, Pakistan also have regional office in Gilgit-Baltistan.
Office	Pakistan	
Programme Start	1-May-22	
Programme End	31-Dec-23	
Partner Name	EvK2CNR	
Partner budget for this Project (USD)	Euro 849,000	

Capacity Assessment Scope Questions	Select Responses from the Dropdown menus
1. Is this a humanitarian project for which a rapid CSO/NGO Partner capacity assessment is needed?	No
2. What role will this organization fulfil on this project?	IP
3. What is the nature of this organization? (Govt, CSO etc)	CSO/NGO not new to UNDP/UN System
4. Will this Partner receive more than US \$150,000 per annum?	Yes
5. Has a Partner Capacity Assessment (including HACT Micro-Assessment) already been performed during the Programme Period?	No
6. Will the Partner be implementing construction activities?	No
7. Will the Partner undertake grant-making activities on behalf of UNDP?	No
8. Will the Partner be implementing project activities funded by the Global Environment Facility (GEF) or the Green Climate Fund (GCF)?	No
9. Will this project utilize a Performance-Based Payment Agreement with the RP?	Yes
10. Will the PBPA exceed USD300,000?	Yes

*If you don't see the assessments you expect, please refresh your answers to the questions above starting with Q1.*

Capacity Assessments needed for this IP:	Links to these Capacity Assessments
Programmatic & HACT Micro-Assessment needed	- <a href="#">Programmatic Assessment</a> <a href="#">Additional Questions for CSOs/NGOs</a> <a href="#">HACT Micro-Assessment</a>

Capacity Assessments needed for this RP:	Links to these Capacity Assessments
FALSE	-
	-
	-
PBPA Proposal Due Diligence needed. Also follow HACT assessment and assurance requirements in line with prevailing policies where applicable.	<a href="#">PBPA Proposal Due Diligence</a> <a href="#">HACT Micro-Assessment</a>

[Return to PCAT Overview page](#)

## Partner Capacity Assessment Tool: Programme & Project Management Assessment

**Purpose:** This worksheet is designed to assess the Partner's Programme & Project Management capacity. It covers topics that are not included in the HACT Micro-Assessment.

**Responsibility & Timing:** The Programme & Project Management capacity assessment should be completed by the Project Developer as soon as possible in the Project Design Phase.

### Background Information (carried forward from 'Partner Pre-requisites' worksheet)

Region	Asia Pacific	Comments: (Optional) EvK2-CNR Association is an Italian Organization, with Head Quarter in Italy, and Country Office in Islamabad, Pakistan. They also have regional office in Gilgit-Baltistan.	<b>Guide for determining the relative importance to this project of each capacity assessed below<sup>1</sup>:</b>
Office	Pakistan		The risk categories below should be used to assess the relative importance of each capacity to this specific project:
Programme Start	1-May-22		<b>High Risk:</b> This capacity is <b>critical</b> for the success of the project. Without this capacity there is a <b>high likelihood</b> that the IP will not fulfil the project goals.
Programme End	31-Dec-23		<b>Substantial Risk:</b> This capacity is <b>very important</b> for the success of the project. Without this capacity there is a <b>substantial likelihood</b> that the IP will not fulfil the project goals.
Partner Name	EvK2CNR		<b>Moderate Risk:</b> This capacity is <b>important</b> for the success of the project. Without this capacity there is a <b>moderate likelihood</b> that the IP will not fulfil the project goals.
Partner budget for this Project (USD)	Euro 849,000 USD 1,002,898		<b>Low Risk:</b> This capacity is <b>not important</b> for the success of this project. Without this capacity there is a <b>low likelihood</b> that the IP will not fulfil the project goals.

### Programme & Project Management Assessment

ERM Risk Category	Risk Being Addressed	Q.#	Questions	Response (Yes, No or N/A)	Relative Importance of Each Capacity to this Project? <sup>1</sup>	Risk Score based on Response	Remarks/ comments
Political (5.2 Political Will)	Absence of political commitment	1	Is the organization's leadership willing to implement this project?	Yes	Substantial	0	Yes, we have EvK2CNR written approval
Political (5.3 Political instability; 5.4 Change/turnover in govt; 5.5 Armed conflict and instability)	Difficult Programmatic Context	2	Is there a stable enabling environment for the Partner to operate within, in terms of political changes or social unrest, ongoing conflicts, poor physical infrastructure, natural disasters, humanitarian crises?	Yes	Substantial	0	Yes, project involves geographical areas prone to climate change induced disasters. There is also political and security uncertainty in the region.
Strategic (7.3 Partner capacities)	Misalignment of programmatic focus; Inadequate experience	3	Are the project outputs proposed to be delivered by this Partner aligned with its mandate, constituency base, and experience? (Consider scale of project, geographic spread, complexity of results to be achieved).	Yes	High	0	Yes, they are completely aligned. The same was checked while IP selection process in accordance with POPP.
Strategic (7.3 Partner capacities)	Inadequate Programmatic Reporting	4	Does the Partner provide its stakeholders and beneficiaries with an annual or periodic programme performance report and do they have an opportunity to provide feedback on the IP's programme performance, either through public meetings or other grievance mechanisms?	Yes	Moderate	0	The partner has the capacity to report on periodic performance to all stakeholders for the project. This partner also had a successful partnership with UNDP where the partner
Strategic (7.3 Partner capacities)	Poor Communications	5	Does the Partner have established protocols and appropriate infrastructure to communicate internally (including sub-offices and to sub-recipients) and to external stakeholders (donors, partners, other implementers, government, etc.)?	Yes	Moderate	0	EvK2CNR is an international NGO with headquarter in Italy alongwith two country offices in Pakistan and Nepal. EvK2CNR Italy has established protocols with these country offices

ERM Risk Category	Risk Being Addressed	Q.#	Questions	Response (Yes, No or N/A)	Relative Importance of Each Capacity to this Project? <sup>1</sup>	Risk Score based on Response	Remarks/ comments
Strategic (7.3 Partner capacities)	Absence of Critical Networks	6	If the Partner depends on any upstream organization(s) for its successful performance, is there any evidence that this dependent relationship will cease or be impaired during the duration of this project? (Consider: (i) type of relationship - local or international network, association, affiliated group, municipal or provincial government drawing on central government support; and (ii) nature of dependency - financial, programmatic, administrative)	Yes	Moderate	2	EvK2CNR Italy is operating in Pakistan through its Pakistan's office. The No objection certificate from Ministry of Interior is required to operate in Pakistan which is already acquired by EvK2CNR.
Strategic (7.3 Partner capacities)	Absence of/weaknesses in Critical Networks	7	Has the Partner assessed the capacity of any downstream partners it will rely upon for the success of the project, and if capacity gaps were found, has it developed a suitable plan to address them (such as capacity building and/or increased monitoring)?	Yes	Moderate	0	Yes, EvK2CNR has been working in the geographical region of Gilgit Baltistan in particular and in Pakistan in general with the local academic, communities, international donor communities and private sector entities.
Strategic (7.3 Partner capacities)	Absence of Critical Networks	8	Is the Partner party to knowledge networks, coordinating bodies, and other fora that are essential for the successful implementation of this project?	Yes	High	0	Ev-K2-CNR Association works through a network of national and international scientific collaborations, in particular with the Italian National Research Council (CNR). Ev-K2-CNR research programs are developed in line with the
Strategic (7.3 Partner capacities)	Inadequate Technical Capacities	9	Do the skills and experience of the Partner's technical professionals match those required for the project and will they be available for the duration of the project (particularly if the project is implemented in remote or challenging geographical areas)?	Yes	High	0	Yes, the national and international experience gained by this INGO makes it the
Strategic (7.3 Partner capacities)	Inadequate Technical Infrastructure	10	Does the Partner have the necessary technical and administrative infrastructure (e.g, offices, laboratories, equipment, software, technical data bases, etc.) to support the implementation of the project), including in remote areas or regions if required?	Yes	High	0	Yes, the prior experience with EvK2CNR shows that they have administrative structure in Pakistan in form of Country Office presence. The national and international experience
Strategic (7.3 Partner capacities)	Poor Absorption Capacity	11	If the existing programmatic and financial management capacities (staffing, systems, etc) are not adequate to meet the additional requirements of the project, does the Partner have the ability to strengthen the capacities within a reasonable timeframe so that the project is not significantly delayed? (i.e. can it recruit staff and/or implement a suitable system promptly?)	No	N/A	0	
Strategic (7.3 Partner capacities)	Personnel Limitations	12	If the organization has a salary scale that would apply to project personnel, would that scale inhibit hiring the best candidates?	No	N/A	0	

ERM Risk Category	Risk Being Addressed	Q.#	Questions	Response (Yes, No or N/A)	Relative Importance of Each Capacity to this Project? <sup>1</sup>	Risk Score based on Response	Remarks/ comments
Strategic (7.5 Code of conduct & ethics), Social & Environmental (1.1-1.12)	Violation of programming principles and ethical standards	13	Does the Partner have an internal policy and a training programme for personnel on the prevention of and response to sexual harassment (SH) and sexual exploitation and abuse (SEA)? ?	No	Substantial	3	The partner HR manual explains the definitions of sexual exploitation, abuse, harassment, misconduct, however no process or details are provided in case beneficiary or staff of
Strategic (7.5 Code of conduct & ethics), Social & Environmental (1.1-1.12)	Violation of programming principles and ethical standards	14	Does the Partner screen their personnel, and/or partners they engage with, for previous involvement or alleged involvement in SH or SEA?	No	High	4	The HR manual does not reflect such screening process.
Strategic (7.5 Code of conduct & ethics), Social & Environmental (1.1-1.12)	Violation of programming principles and ethical standards	15	Does the Partner have a mechanism in place to report and monitor response to allegations of SH and SEA by and against their personnel? <i>(Consider available reporting mechanisms such as emails, hotlines, phone numbers, contact person etc.)</i>	No	Substantial	3	The partner HR manual explains the definitions of sexual exploitation, abuse, harassment,
Strategic (7.5 Code of conduct & ethics), Social & Environmental (1.1-1.12)	Violation of programming principles and ethical standards	16	Does the Partner have the capacity - internal or external - to investigate allegations of SH and SEA, and the ability to refer victims to appropriate victim assistance services (e.g. medical, legal or psychosocial)? <i>(Consider information on available capacity (such as trained investigators or access to external investigation services) and mechanisms (such as identified victim assistance providers) in a written statement.)</i>	No	Substantial	3	The partner HR manual explains the definitions of sexual exploitation, abuse, harassment, misconduct, however no
Strategic (7.3 Partner capacities)	Inadequate Safety & Security	17	Does the Partner have protocols and safeguards in place to minimize the risk of harm to project-affiliated people, the environment and assets? (e.g. sexual exploitation and abuse, physical safety & security, social & environmental safeguards, etc)	No	Substantial	3	The HR manual does not reflect such screening process.
Strategic (7.5 Code of conduct & ethics), Social & Environmental (1.1-1.12)	Violation of programming principles and ethical standards	18	Has the Partner advised employees, beneficiaries and other recipients to whom they should report sexual misconduct or where to they may report fraud, waste or misuse of agency resources or property? If so, does the IP have a policy against retaliation relating to such reporting?	No	Substantial	3	The partner HR manual explains the definitions of sexual exploitation, abuse, harassment,
				<b>Overall Risk Score for this Section</b>		<b>21</b>	
				<b>Overall Risk Assessment for this Section</b>		<b>Moderate Risk</b>	
<b>Conclusion on Programme &amp; Project Management Assessment</b>							
Overall Risk Assessment					<b>Moderate Risk</b>		
Select the risk mitigation strategies that will be employed (i.e. capacity building actions and/or enhanced monitoring and assurance activities)					Capacity building & enhanced monitoring and assurance activities		
Describe the capacity building actions and/or enhanced monitoring and assurance activities that will be included in the Project Document					1. EvK2CNR will be requested/update its HR manual clearly articulating the process for Sexual exploitation/abuse related grievance redress mechanism at their workplace. 2. EvK2CNR to ensure its partners, contractors are aware of their obligations towards ensuring sexual exploitation, abuse, harassment policies, procedures are understood and adhered with for the implementation of UNDP funded activities. 3. EvK2CNR will ensure to conduct trainings for its staff, partners, contractors on PSEA/SH. 4. EvK2CNR will report to UNDP any PSEA/SH complain it receives from downstream beneficiaries, communities, research students working on UNDP projects		
Provide the estimated budget required for these activities (to be included in the Project Budget) (\$US)					\$ -		
Comments on Overall Programme & Project Management Assessment: (Optional)							

ERM Risk Category	Risk Being Addressed	Q.#	Questions	Response (Yes, No or N/A)	Relative Importance of Each Capacity to this Project? <sup>1</sup>	Risk Score based on Response	Remarks/ comments
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ERM Risk Category	Risk Being Addressed	Q.#	Questions	Response (Yes, No or N/A)	Relative Importance of Each Capacity to this Project? <sup>1</sup>	Risk Score based on Response	Remarks/ comments
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Additional Considerations for CSOs/NGOs							
Political (5.1 Government commitment)	Absence of National Government Commitment	1	Has the national government raised any objections to this organization being considered as a Partner for this project?	No	N/A	0	
Regulatory (6.3 FRR)	Inadequate legal status	2	Is the organization currently registered to operate in the country?	Yes	Substantial	0	EvK2CNR is registered organization in Italy and
Regulatory (6.3 FRR)	Absence of Non-Profit Mandate	3	Does the organization have a not-for-profit mandate and nature?	Yes	Substantial	0	
Strategic (7.3 Partner capacities)	Inadequate Governance & Oversight	4	Does the CSO/NGO have a governing body or management team that actively monitors operations in-country to ensure organizational standards in programme and financial management are adhered to?	Yes	High	0	Yes, its an INGO with local presence in Pakistan with communication and
Strategic (7.3 Partner capacities)	Unclear/Uninvolved Constituency	5	Does the CSO/NGO have a clear constituency with which it has regular and participatory links (including in programme design, review, and reporting of performance) and does it apply effective approaches to collect baseline information and reach its targets (i.e. participatory methods)?	Yes	High	0	Yes, the national and international experience gained by this INGO makes it the custodian of most up to date
Social & Environmental (1.1-1.2, 1.7, 1.11)	Discriminatory membership	6	If the organization is membership-based, are its membership policies based on principles of non-discrimination?	N/A	N/A	0	
Strategic (7.3 Partner capacities)	Inadequate In-country Presence	7	Does the CSO/NGO maintain a strong presence in-country and/or the field (e.g. field offices, laboratories, equipment, software, technical data bases, etc.) that will oversee the day-to-day implementation of the project?	Yes	High	0	
Strategic (7.3 Partner capacities)	Project delays or interruptions	8	Is the CSO/NGO involved in any litigation that could impact the delivery of the project?	No	High	0	
Strategic (7.3 Partner capacities)	Inadequate Logistical Capacity	9	Does the CSO/NGO have adequate communications and logistical capacity to implement this project (e.g. coordination between main office and field offices, transportation of people and/or materials)?	Yes	High	0	
<b>Overall Risk Score for this Section</b>						<b>0</b>	
<b>Overall Risk Assessment for this Section</b>						<b>Low Risk</b>	

Conclusion on Additional Considerations for CSO/NGO Capacity Assessment	
Overall Risk Assessment	<b>Low Risk</b>
Select the risk mitigation strategies that will be employed (i.e. capacity building actions and/or enhanced monitoring and assurance activities)	No actions considered necessary
Describe the capacity building actions and/or enhanced monitoring and assurance activities that will be included in the Project Document	ABC
Provide the estimated budget required for these activities (to be included in the Project Budget) (\$US)	\$ -
Comments on Overall Additional Considerations for CSO/NGO Capacity Assessment: (Optional)	
TRS	

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### Partner Capacity Assessment Tool: Step 4: Capacity Assessment Conclusions

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**Purpose:** This worksheet is designed to capture the results of the Capacity Assessments completed and the resulting mitigation strategies for the risk levels identified. Risk mitigation strategies can include capacity building and/or enhanced monitoring and assurance activities. These activities should be included in the Project Document and the associated Project Budget. When completed, attach this worksheet to the Project Document.

**Responsibility & Timing:** This Capacity Assessment Conclusion page is automatically generated based on the results of the assessments completed in the PCAT. It should be reviewed by the Project Developer for completeness and accuracy and attached to the Project Document. If changes need to be made to this Conclusion page, they should be done on the relevant Capacity Assessment Worksheet (i.e., Programme-Project Mgt, Construction Assess, On-Granting Assess, PBPA Proposal Due Diligence, Private Sector Due Diligence, etc) so that the corrections will be captured in the relevant assessments and automatically displayed here.

#### Background Information (carried forward from 'Partner Pre-requisites' worksheet)

Region	Asia Pacific	Comments: (Optional) EvK2-CNR Association is an Italian Organization, with Head Quarter in Italy, and Country Office in Islamabad, Pakistan. They also have regional office in Gilgit-Baltistan.
Office	Pakistan	
Programme Start	1-May-22	
Programme End	31-Dec-23	
Partner Name	EvK2CNR	
Partner budget for this Project (USD)	Euro 849,000 USD 1,002,898	

#### Manageable Concerns noted in the 'Pre-Requisites for Partnering' Screen

Area of concern	Nature of evidence found and how associated risks to UNDP will be managed	Management & Justification Plans documented?	Information included in Project Risk Log? (Yes/No)	Estimated Budget to Implement Management & Justification Plans (if any)	Comments (Optional)

#### Capacity Assessment Conclusions for this IP

Automatically Generated					
Capacity Assessment Component	Overall Risk Assessment for this Component	Risk Mitigation Strategies (i.e. capacity building actions and/or enhanced monitoring and assurance activities)	Describe the capacity building actions and/or enhanced monitoring and assurance activities that will be included in the Project Document	Estimated budget required for these activities (include in the Project Budget)	Comments (Optional)
Conclusion on Programmatic Assessment	<b>Moderate Risk</b>	Capacity building & enhanced	1. EvK2CNR will be	\$ -	0
Conclusion on Programmatic Assessment - Additional Considerations for CSOs/NGOs	<b>Low Risk</b>	No actions considered necessary	ABC	\$ -	TRS

Capacity Assessment Component	Overall Risk Assessment for this Component	Risk Mitigation Strategies (i.e. capacity building actions and/or enhanced monitoring and assurance activities)	Describe the capacity building actions and/or enhanced monitoring and assurance activities that will be included in the Project Document	Estimated budget required for these activities (include in the Project Budget)	Comments (Optional)
Conclusion on HACT Micro-Assessment (manually enter here based on results of HACT Micro-Assessment completed by independent Third-Party Service Provider)	Manually Enter	Manually Enter	Manually Enter	Manually Enter	Manually Enter
				Total	\$ -
Comments on Overall Capacity Assessments for this IP: (Optional)					

# *UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)*

## *REPORT ON MICRO ASSESSMENT OF IMPLEMENTING PARTNER: EV-K2 Center for National Research Council Italy (EV-K2-CNR Italy)*

May 11,  
2022



This report has been prepared solely for the management of UNDP and EV-K2-CNR Italy on the terms agreed with the UNDP. We do not accept or assume liability or duty of care for any other purpose or to any other party. This report should not be disclosed to any third party.

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# *Background, Scope & Methodology*



## ***Background, Scope and Methodology***

### **Background**

The micro assessment is part of the requirements under the Harmonized Approach to Cash Transfers (HACT) Framework. The HACT framework represents a common operational framework for UN agencies' transfer of cash to government and non-governmental Implementing Partners (IP). We were engaged by UNDP through PO# PAK 10-0000027526 dated 10-May-2022 to carry out micro assessment of EV-K2-CNR Italy.

The micro-assessment assesses the IP's control framework. It results in a risk rating (low, moderate, significant or high). The overall risk rating is used by the UN agencies, along with other available information (e.g. history of engagement with the agency and previous assurance results), to determine the type and frequency of assurance activities as per each agency's guideline and can be taken into consideration when selecting the appropriate cash transfer modality for an IP.

### **Scope**

The micro-assessment provides an overall assessment of the Implementing Partner's programme, financial and operations management policies, procedures, systems and internal controls. It includes:

- A review of the IP legal status, governance structures and financial viability; programme management, organizational structure and staffing, accounting policies and procedures, fixed assets and inventory, financial reporting and monitoring, and procurement;
- A focus on compliance with policies, procedures, regulations and institutional arrangements that are issued both by the Government and the Implementing Partner.

It takes into account results of any previous micro assessments conducted of the IP.

### **Methodology**

We performed the micro-assessment from April 18, 2022 to April 29, 2022 remotely from our Islamabad office. Through discussions with management, observation and walk-through tests of transactions on sample basis, we have assessed the IP's internal control system with emphasis on:

- The effectiveness of the systems in providing the Implementing Partner's management with accurate and timely information for management of funds and assets in accordance with work plans and agreements with the United Nations agencies;
- The general effectiveness of the internal control system in protecting the assets and resources of the Implementing Partner.

We discussed the results of the micro assessment with applicable UN agency personnel and the IP prior to finalization of the report. The list of persons met and interviewed during the micro-assessment is set out in Annexure III.

# *Summary of Risk Assessment Results*



## Summary of Risk Assessment Results along findings

Sr. no.	Subject Area	Risk assessment	Brief description of issues
1.	Implementing partner	Low	-No trainings / orientations conducted on fraud, waste or misuse of agency resources or property.
2.	Programme Management	Low	- No detailed policies and procedures on programme management; - No detailed policies and procedures on risk management.
3.	Organizational structure and staffing	Low	- Annual training plans are not prepared, and training need assessment form is not prescribed.
4.	Accounting policies and procedures	Low	- Account codes and project codes are not mentioned on the invoices; - Monthly timesheets outlining the activity / tasks of employee are not prepared.
5.	Fixed Assets and Inventory	Low	- No insurance cover for inventory items; - No automated inventory management system; - Segregation of duties not ensured in inventory management.
6.	Financial Reporting and Monitoring	Low	----
7.	Procurement and Contract Administration	Low	- No comprehensive policy for procurement exceptions and emergency procurements; - No practice to prepare periodic procurement reports; - No comprehensive conflict of interest policy in place for procurements; - No periodic vendor evaluation being performed; - No approved vendor list maintained.
Overall Risk Assessment		Low	



# *Detailed Internal Control Findings and Recommendations*



## *Detailed Internal Control Findings and Recommendations*

<i>Finding</i>	<i>Recommendation</i>
<b><i>Subject Area: Implementing Partner</i></b>	

As per our discussions with the management and review of policies and procedural manuals, we noted that policy for employees, beneficiaries and other recipients to report to their line managers or supervisors if they suspect fraud, waste or misuse of agency resources or property exists. However, we noted that the IP did not conduct any formal training sessions /orientations of employees or beneficiaries in this respect.

We recommended that the IP should conduct training sessions / orientations on the organizational policies and procedures of whom to report if they suspect fraud, waste, or misuse of agency resources or property.

### ***Subject Area: Programme Management***

As per our discussions with the management, we were apprised that the IP do not have in place detailed policies and procedures in respect of programme management.

We recommended that the IP should develop detailed policies and procedures in respect of programme management including policies related to preparation of project development checklist, other work planning templates and schedules for project implementations.

As per our discussions with the management, we were apprised that the IP does not have any detailed policies and procedures regarding risk identification and management.

We recommended that the IP should develop detailed policies and procedures in respect of risk management including risk identification and risk mitigation.



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## *Detailed Internal Control Findings and Recommendations (Continued)*

<i>Finding</i>	<i>Recommendation</i>
<b><i>Subject Area: Organizational structure and staffing</i></b>	

As per our discussions with the management and review of Human Resource Manual, we noted that the IP has a policy on employee's trainings according to which training need assessment is to be done at the time of performance appraisal. However, we noted that the policy do not cover a prescribed format for training need assessment form and preparation of annual training plans.

We recommended that the IP should prepare annual training plan of all departments based on performance appraisals and track its implementation. Further, proper format of Training Need Assessment form should be prescribed as per policy.

<b><i>Subject Area: Accounting policies and procedures</i></b>	
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During our review of sample vouchers, we observed that the account codes and project codes are not mentioned on the invoices.

We recommended that account codes and project codes should be mentioned on the invoices for accurate allocation of costs to different donors and account heads.

As per our discussions with the management and review of time sheets of the employees, we noted that the daily timesheets are maintained. However, timesheets outlining the activity / tasks of employee are not prepared by the employees.

We recommend that signed timesheets outlining the activity / tasks of employee should be maintained for accurate allocation of costs to different donors and account heads.



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## *Detailed Internal Control Findings and Recommendations (Continued)*

<i>Finding</i>	<i>Recommendation</i>
<b><i>Subject Area: Fixed Assets and Inventory</i></b>	
As per our discussions with the management, we noted that only fixed assets are adequately covered by insurance policies. There is no insurance cover for inventory items.	We recommended that insurance cover should be obtained for all significant inventory items.
We noted that only Warehouse Officer is responsible for the receiving and issuance of inventory and updating the inventory records.	We recommend that proper segregation of duties should be ensured, and different individuals be responsible for receiving and issuance of inventory and updating the inventory records.
<i>Finding</i>	<i>Recommendation</i>
<b><i>Subject Area: Procurement and Contract Administration</i></b>	
We noted that there is no practice to prepare any annual or periodic procurement reports.	We recommended that procurement reports be prepared periodically and reviewed regularly to ensure the timely delivery and prevent any delays.



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## *Detailed Internal Control Findings and Recommendations (Continued)*

<i>Finding</i>	<i>Recommendation</i>
<b><i>Subject Area: Procurement and Contract Administration</i></b>	
<p>We noted that there is no policy of maintaining approved vendor list. Further, the practice of tracking past performance of suppliers is not being followed.</p>	<p>We recommend that approved vendor list should be maintained, and the IP should consider to follow the practice of conducting periodic vendor evaluations on standard templates.</p>
<p>We were apprised by the management that Ev-K2-CNR Italy approvals are obtained from president and BOD, the president sign all the contracts with vendors / suppliers. However, we reviewed a contract in which the president sign was missing.</p>	<p>We recommend IP to ensure that policies are being followed properly.</p>

# *Annexure – I*

## *Implementing Partner and Programme Information*



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## **Annexure – I**

### **Implementing Partner and Programme Information**

<b>Implementing partner name:</b>	Everest-K2 Center for National Research Italy(Ev-K2-CNR Italy)
<b>Implementing partner code or ID in UNICEF, UNDP, UNFPA records (as applicable)</b>	N/A
<b>Implementing partner contact details (contact name, email address and telephone number):</b>	Name: Mr. Agostino Da Polenza Email: <a href="mailto:adp@montagna.org">adp@montagna.org</a> Phone: 0039 035 3230511 Address: Via San Bernardino 145 24126 Bergamo- Italy
<b>Main programmes implemented with the applicable UN Agency/ies:</b>	N/A
<b>Key Official in charge of the UN Agency/ies' programme(s):</b>	N/A
<b>Programme location(s):</b>	Gilgit Baltistan, Pakistan, Nepal & Italy
<b>Location of records related to the UN Agency/ies' programme(s):</b>	Italy-Nepal-Pakistan
<b>Currency of records maintained:</b>	EURO
<b>Latest expenditures incurred/reported to UNICEF, UNDP and UNFPA (as applicable). Indicate the amount (in US\$) and the financial reporting period ;</b>	EV-K2-CNR Italy received funds @ 105.355\$, the total amount is USD=732,283/- Reporting period= October 2018 to September 2020
<b>Current or latest cash transfer modality/ies used by the UN agency/ies to the IP</b>	Through banking transfer directly to account
<b>Intended start date of micro assessment:</b>	April 29, 2022
<b>Number of days to be spent for visit to IP:</b>	None
<b>Any special requests to be considered during the micro assessment:</b>	N/A

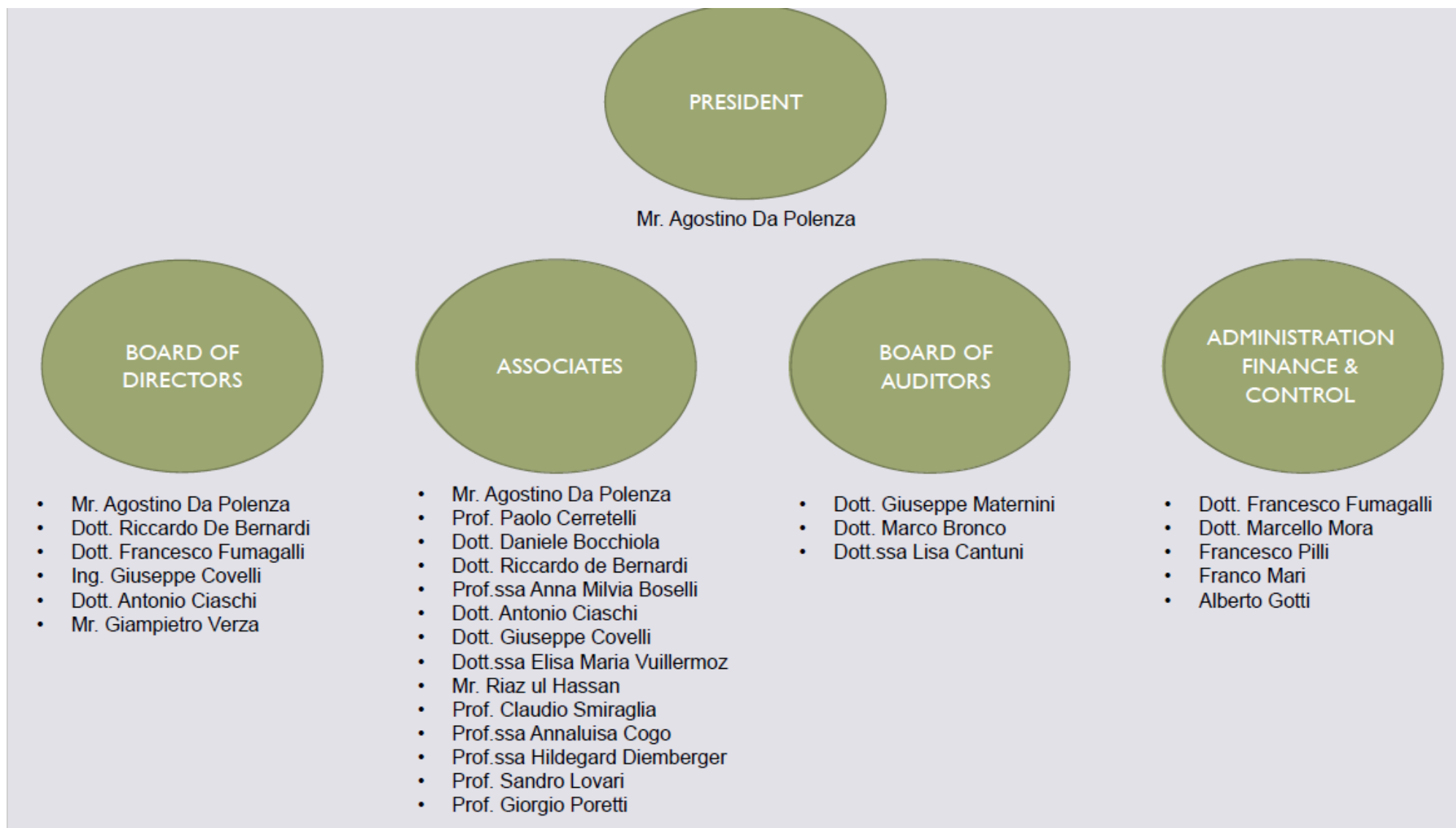
# *Annexure – II*

## *Organisational Chart of the Implementing Partner*



## ***Annexure – II***

### ***Organisational Chart of the Implementing Partner***



# *Annexure – III*

## *List of persons interviewed*



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## ***Annexure - III***

### ***List of persons interviewed***

<b>Name</b>	<b>Designation</b>	<b>Organization</b>
Mr. Agostino Da Polenza	President	EVK2CNR, Italy
Mr. Riaz ul Hassan	President's Representative	EVK2CNR, Italy

# *Annexure – IV*

## *Micro Assessment Questionnaire*

## Micro-assessment workbook

Implementing partner: EV-K2-CNR (Italy)

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
<b>1. Implementing Partner</b>						
1.1 Is the IP legally registered? If so, is it in compliance with registration requirements? Please note the legal status and date of registration of the entity.	Yes			Low	1	"Ev-K2-CNR" ASSOCIATION registered in the Prefecture of Bergamo Italy. Reviewed the registration deed of the IP.
1.2 If the IP received United Nations resources in the past, were significant issues reported in managing the resources, including from previous assurance activities.			N/A	N/A	-	Previously EvK2CNR received funds from United Nations without any significant issues in managing the resources
1.3 Does the IP have statutory reporting requirements? If so, are they in compliance with such requirements in the prior three fiscal years?	Yes			Low	1	As per our discussions with the management, the IP has the statutory reporting requirement to conduct the audit of its financial statements on annual basis from an independent auditor. Reviewed the report to prefecture of Bergamo.
1.4 Does the governing body meet on a regular basis and perform oversight functions?	Yes			Low	1	As per our discussion with management we were apprised that Assembly Board meetings are conducted. We have reviewed the minutes of the meetings.
1.5 If any other offices / external entities participate in implementation, does the IP have policies and process to ensure appropriate oversight and monitoring of implementation?	Yes			Moderate	4	<p>We were apprised by the management that the IP's Office and an operational unit which has its local control mechanism, which is supervised from HQ Italy. For ensuring appropriate oversight and monitoring of implementation, the IP follows the guidelines and principles as provided in the following policies and procedural manuals:</p> <ul style="list-style-type: none"> <li>- Financial Policy and procedural manual;</li> <li>- Human Resource Management Manual;</li> <li>- MnE Manual.</li> </ul> <p>According to Financial Policy and Procedure manual, each quarter Representative offices submitted technical report to relevant focal person at head office.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Activity wise visits by technical team and reports for the same are presented to the President.</li> <li><input type="checkbox"/> Any suggestion made by the president convey to concern office and implemented.</li> <li><input type="checkbox"/> The President visit with technical team.</li> <li><input type="checkbox"/> Project completion report activity wise submitted to Head office</li> <li><input type="checkbox"/> Requisition is reviewed by accountant at head office and approved by President.</li> <li><input type="checkbox"/> After disbursement, liquidation is done on monthly basis on the basis of reports submitted by the offices.</li> <li><input type="checkbox"/> Annual report: Fortnight of completion of the year, presented to the President by the RR.</li> </ul>

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
<p><b>1.6</b> Does the IP show basic financial stability in-country (core resources; funding trend)? Provide the amount of total assets, total liabilities, income and expenditure for the current and prior three fiscal years.</p>	Yes			Low	1	<p>We have reviewed the prior three years audited financial statements and noted the following:  <b>(a) Financial Year 2021 (Budgeted):</b>  Total Assets: Euro 6.803.595  Total Liabilities: Euro 6.803.595  Total Income: Euro 94.919  Total Expenditure: Euro 40.717  <b>(b) Financial Year 2020:</b>  Total Assets: Euro 6.588.648  Total Liabilities: Euro 6.588.648  Total Income: Euro 126.809  Total Expenditure: Euro 89.990  <b>(c) Financial Year 2019:</b>  Total Assets: Euro 6.547.256  Total Liabilities: Euro 6.547.256  Total Income: Euro 190.566  Total Expenditure: Euro 165.641</p>
<p><b>1.7</b> Can the IP easily receive funds? Have there been any major problems in the past in the receipt of funds, particularly where the funds flow from government ministries?</p>			N/A	N/A	-	<p>We have been apprised by the management that there have been no major problems in receiving funds from various donors including government agencies.</p>
<p><b>1.8</b> Does the IP have any pending legal actions against it or outstanding material/significant disputes with vendors/contractors? If so, provide details and actions taken by the IP to resolve the legal action.</p>			N/A	N/A	-	None
<p><b>1.9</b> Does the IP have an anti-fraud and corruption policy?</p>	Yes			Moderate	2	<p>As per our discussions with the management and review of Human Resource Manual, the IP has a policy on "Misconduct" which prevents employees from theft, fraud or dishonesty in connection with the business or property of the IP or with the property of any person in the premises of the IP.</p>
<p><b>1.10</b> Has the IP advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property? If so, does the IP have a policy against retaliation relating to such reporting?</p>	Yes			Moderate	2	<p>As per review of policies and procedural manuals, we noted that whistleblower policy has been adopted by management which encompasses for suspected fraud. For suspected fraud or when you are not satisfied or uncomfortable with following the Organization's open-door policy, individuals should contact the Organization's Compliance Officer directly.</p>
<p><b>1.11</b> Does the IP have any key financial or operational risks that are not covered by this questionnaire? If so, please describe. <i>Examples: foreign exchange risk; cash receipts.</i></p>			N/A	N/A	-	None
<b>Total number of questions in subject area:</b>	11					
<b>Total number of applicable questions in subject area:</b>	7					
<b>Total number of applicable key questions in subject area:</b>	4					
<b>Total number of risk points:</b>	12					
<b>Risk score</b>	1.7					
<b>Area risk rating</b>	Low					

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
<b>2. Programme Management</b>						
<b>2.1</b> Does the IP have and use sufficiently detailed written policies, procedures and other tools (e.g. project development checklist, work planning templates, work planning schedule) to develop programmes and plans?	Yes			Significant	3	As per our discussions with the management, we were apprised that the IP do not have in place detailed policies and procedures in respect of programme management.  However, the IP follows the practice to prepare project development checklist, other work planning templates and schedules for project implementations and is also required to follow the agreements / work plans with the respective donors for the preparation of such templates and plans for donor funded projects.
<b>2.2</b> Do work plans specify expected results and the activities to	Yes			Low	1	As per our review of work plans of different projects, we noted that the deliverable
<b>2.3</b> Does the IP identify the potential risks for programme delivery and mechanisms to mitigate them?	Yes			Significant	3	As per our discussions with the management, we were apprised that for projects, the potential risks are identified and categorized in high, medium and low risks.  However, the IP does not have any detailed policies and procedures regarding risk identification and management.
<b>2.4</b> Does the IP have and use sufficiently detailed policies, procedures, guidelines and other tools (checklists, templates) for monitoring and evaluation?	Yes			Low	1	As per our review of MnE Manual, we noted that the IP has detailed policies and procedures in respect of monitoring and evaluation and a specific Monitoring & Evaluation Department also exists.
<b>2.5</b> Does the IP have M&E frameworks for its programmes, with indicators, baselines, and targets to monitor achievement of programme results?	Yes			Low	1	As per our review of M&E policies and procedures, we noted that the IP has established a detailed M&E framework for its programmes and includes the following: - Design - Starting the project - Planning - organizing and preparing - Implementation - carrying out the work - Conclusion - closing the project - Monitoring tiers / Structure - Monitoring and Supervisory Visits Frequencies - Assessment Methodology
<b>2.6</b> Does the IP carry out and document regular monitoring activities such as review meetings, on-site project visits, etc.	Yes			Low	1	As per our discussions with the management and project monitoring report, regular field visits at different project sites are carried out by the field monitors on respective visit reports are then submitted to the M&E Manager. Any findings / observations are escalated for corrective/ remedial actions.
<b>2.7</b> Does the IP systematically collect, monitor and evaluate data on the achievement of project results?	Yes			Low	1	Reviewed * Monitoring Report * Monitoring visit sheet
<b>2.8</b> Is it evident that the IP followed up on independent evaluation recommendations?	Yes			Low	1	Reviewed the Independent impact study relevant to project SEED project interventions in Gilgit-Baltistan.
<b>Total number of questions in subject area:</b>	<b>8</b>					
<b>Total number of applicable questions in subject area:</b>	<b>8</b>					
<b>Total number of applicable key questions in subject area:</b>	<b>2</b>					
<b>Total number of risk points:</b>	<b>12</b>					
<b>Risk score</b>	<b>1.5</b>					
<b>Area risk rating</b>	<b>Low</b>					

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
<b>3. Organizational Structure and Staffing</b>						
<b>3.1</b> Are the IP's recruitment, employment and personnel practices clearly defined and followed, and do they embrace transparency and competition?	Yes			Low	1	Human Resource Manual of the IP has detailed documented policies and procedures related to recruitment, employment and personnel practices. Following are the overall contents of the Human Resource Manual which are described in detail in the policy manual:  <ul style="list-style-type: none"> <li>- Introduction;</li> <li>- Conditions of employment;</li> <li>- Recruitment and induction procedure;</li> <li>- Salary/ Compensation and fringe benefits;</li> <li>- Human resource development and staff trainings;</li> <li>- Evaluation and performance appraisal;</li> <li>- Holidays, leaves and employee administration;</li> <li>- Official trainings and entitlements;</li> <li>- Separation from employment;</li> <li>- Code of conduct;</li> <li>- Conflict of interest;</li> <li>- Health, environment and safety.</li> </ul>
<b>3.2</b> Does the IP have clearly defined job descriptions?	Yes			Low	1	Job description of all employees are clearly defined and documented. All employees upon joining of the IP are required to sign an acknowledgement of understanding of his / her respective job descriptions and signed job descriptions are made part of employees personnel files.
<b>3.3</b> Is the organizational structure of the finance and programme management departments, and competency of staff, appropriate for the complexity of the IP and the scale of activities? Identify the key staff, including job titles, responsibilities, educational backgrounds and professional experience.	Yes			Low	1	01.Head of the administrative and accounting department: Marcello Mora, 59 years old, Chartered Accountant, graduate in Economics and Commerce and auditor 02.Administration and Control - Francesco Fumagalli, 49, graduated in economics and commerce from UNI Bergamo, financial manager, and business consultant. 03.Supervision of legal and administrative affairs, - Gotti Alberto, 59 years old, 04. Projects budget planning and control. Francesco Pilli. 05. Accounting and administrative office management - Linda Doneda, 48 years old, degree in accounting- inciarage for accounting and administrative. 06. Programme Manager Dr. Elisa Maria Vuillermoz CV.
<b>3.4</b> Is the IP's accounting/finance function staffed adequately to ensure sufficient controls are in place to manage agency funds?	Yes			Low	1	As per our review of Human Resource Manual, we noted that the IP has a policy on employee's trainings according to which training need assessment is to be done at the time of performance appraisal. Reviewed the training need assessment report. However, we noted that the policy do not cover a prescribed format for training need assessment form and preparation of annual training plans.



Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
<b>3.5</b> Does the IP have training policies for accounting/finance/programme management staff? Are necessary training activities undertaken?	Yes			Low	1	As per our review of Human Resource Manual, we noted that the IP has a policy on employee's trainings according to which training need assessment is to be done at the time of performance appraisal. Reviewed the training need assessment report. However, we noted that the policy do not cover a prescribed format for training need assessment form and preparation of annual training plans.
<b>3.6</b> Does the IP perform background verification/checks on all new accounting/finance and management positions?	Yes			Low	1	As per our discussions with the management, we were informed that the IP has a detailed policy of performing background verification / reference checks on all new employees. We also reviewed personal files of employees in respect of background verification checks performed.
<b>3.7</b> Has there been significant turnover in key finance positions the past five years? If so, has the rate improved or worsened and appears to be a problem?		No		N/A	-	We were apprised by the management that there have been no significant turnover in key finance positions.
<b>3.8</b> Does the IP have a documented internal control framework? Is this framework distributed and made available to staff and updated periodically? If so, please describe.	Yes			Low	1	Following policies and procedural manuals are in place: - MnE Manual; - Human Resource Manual; - Financial policies and procedures Manual.
<b>Total number of questions in subject area:</b>	8					
<b>Total number of applicable questions in subject area:</b>	7					
<b>Total number of applicable key questions in subject area:</b>	3					
<b>Total number of risk points:</b>	7					
<b>Risk score</b>	1.0					
<b>Area risk rating</b>	Low					

<b>4. Accounting Policies and Procedures</b>						
<b>4a. General</b>						
<b>4.1</b> Does the IP have an accounting system that allows for proper recording of financial transactions from United Nations agencies, including allocation of expenditures in accordance with the respective components, disbursement categories and sources of funds?	Yes			Moderate	4	IP has a customized computerized accounting system (Sistema Vialibera Soluzione modulare integrata per professionisti) which is modular and integrated solution for professionals for the management of accounting and declarations of financial statements. We have reviewed the screenshots of the system. <a href="http://www.vialiberapaghe.ilsole24ore.com">http://www.vialiberapaghe.ilsole24ore.com</a>
<b>4.2</b> Does the IP have an appropriate cost allocation methodology that ensures accurate cost allocations to the various funding sources in accordance with established agreements?	Yes			Low	1	Reviewed the Appropriate cost allocation template. Furthermore, we have been apprised by the management that the allocation of expenditure to various funding sources is made according to the budget defined in the agreements. ***Ev-K2-CNR maintain separate data for each funding sources and all the transaction related to a particular funding source is recorded separately. Ev-K2-CNR does not allocate common cost to the funding agencies. Only direct implementation cost charged to the project. Common cost is borne from management funds

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
4.3 Are all accounting and supporting documents retained in an organized system that allows authorized users easy access?	Yes			Low	1	As per our review of Financial Procedure and policy Manual, we noted that the IP has developed proper policy on "Record Retention". The formal records retention policy of Accounts payable ledgers and schedules 7 Years Accounts receivable ledgers and schedules 7 Years Audit reports Permanently Bank reconciliations 2 Years Bank Statements 3 Years Chart of Accounts Permanently Cancelled Checks 7 Years Contracts, mortgages, notes, and leases (expired) 7 years  Years Correspondence: General (Customers, Vendors, etc.) 2 Years Legal and important matters only Permanently Deeds, mortgages, and bills of sale Permanently Determination letter for income tax exemption Permanently Depreciation schedules Permanently
4.4 Are the general ledger and subsidiary ledgers reconciled at least monthly? Are explanations provided for significant reconciling items?	Yes			Low	1	We have been apprised by management that the accounting software (Sistema Vialibera) reconciles general ledger and subsidiary ledgers monthly.
<b>4b. Segregation of duties</b>						
4.5 Are the following functional responsibilities performed by different units or individuals: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction?	Yes			Low	1	As per our review of General Principles for The Assignment of Works of Assignments for Expenditure and Specific Prevention Protocol of Tax Offenses, we noted that the IP has developed proper policy on "Management of accounting, payments and cash flows". <b>I. Preliminary phase:</b> the administrative office prepares the reporting that is supervised by the President or the Vice President; <b>II. Transmission phase:</b> the report is forwarded to the Region for its examination and subsequent approval; <b>III. Invoicing phase:</b> the accountant in charge of issuing the invoice.

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
4.6 Are the functions of ordering, receiving, accounting for and paying for goods and services appropriately segregated?	Yes			Moderate	4	Based on our discussions with the management we noted that:  <b>Procurement process:</b> 1. Ordering: Purchase Requisition is generated by the concerned officer of the user department. The request is sent to the Finance Department where Finance Manager reviews and ensures budget is available for the same. If budget is available, the Purchase Request is then duly approved by President. 2. Manager Logistics calls for quotations and evaluation of the quotations, Procurement committee member include one from each department. Based on Procurement Committee decision, purchase orders prepared by Logistics Manager and approved by President.  Ordering Department receives the goods and compares the items received with the items ordered and submits the Goods Receipt Note (GRN) to the Stores and Accounts Department.  <b>b. Payment:</b> On successful completion of services / receipt of goods, payment is recommended by Finance officer which is sent to Finance Manager for review. After review from Finance Manager, the cheque is approved by President of the IP for issuance.
4.7 Are bank reconciliations prepared by individuals other than those who make or approve payments?	Yes			Low	1	We have been apprised by management that bank reconciliations are made by Accountant and approved by President.
<b>4c. Budgeting system</b>						
4.8 Are budgets prepared for all activities in sufficient detail to provide a meaningful tool for monitoring subsequent performance?	Yes			Low	1	As per our review of Annex: 4.2_ Appropriate cost allocation temp: Ev-K2-CNR prepares consolidated, project wise budgets with break downs foreach activity with sufficient details covering all the operating activities of Ev-K2-CNR including the following: - Activity code, - Activities to be performed, - Unit cost -Frequency, - Total Cost, - Quarter wise breakup Budgets are approved by the President, agreed with the donor in the donor agreements, which include details of activities and procurement to be undertaken during the project.
4.9 Are actual expenditures compared to the budget with reasonable frequency? Are explanations required for significant variations from the budget?	Yes			Low	1	As per our review of appropriate cost allocation template (Actual expenditure is compared with budget on monthly basis for the organization and comparisons has been made accordingly as per the requirements of the donor.
4.10 Is prior approval sought for budget amendments in a timely way?	Yes			Low	1	We have been apprised by the management that if there are significant changes in work plan, budget amendment required, prior approval is sought in timely from the donors.
4.11 Are IP budgets approved formally at an appropriate level?	Yes			Low	1	The budget is approved by BoD formally

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
<b>4d. Payments</b>						
<b>4.12</b> Do invoice processing procedures provide for: · Copies of purchase orders and receiving reports to be obtained directly from issuing departments? · Comparison of invoice quantities, prices and terms with those indicated on the purchase order and with records of goods/services actually received? · Checking the accuracy of calculations?	Yes			Low	1	As per our review of General Principles for The Assignment of Works of Assignments for Expenditure and Specific Prevention Protocol of Tax Offenses, we noted that the IP has developed proper policy on "Management of accounting, payments and cash flows".
<b>4.13</b> Are payments authorized at an appropriate level? Does the IP have a table of payment approval thresholds?	Yes			Low	1	As per our discussions with the management and review of approved payment approval thresholds, we noted that the IP has defined payment approval thresholds for different nature of payments. *Euro: 5000 -Signature, by the (President, the Vice President or by one of the Board members), *Euro: Up to 30,000 -Signature, ( jointly by President and one of the Board members) *Euro: Above then 30,000-approved by (Administration and Control. Payment may be made separately by the Chairman of the Board of Directors or by the Secretary of the Board)
<b>4.14</b> Are all invoices stamped 'PAID', approved, and marked with the project code and account code?	Yes			Significant	6	During our review of sample vouchers, we noted that all the invoices are stamped as "PAID", dated and approved. However, we observed that the account codes and project codes are not mentioned on the invoices.
<b>4.15</b> Do controls exist for preparation and approval of payroll expenditures? Are payroll changes properly authorized?	Yes			Low	1	As per our review of Financial Policy and Procedure Manual, we noted that the IP has developed proper policy on "Preparation of Timesheets", "Payroll Taxes", "Payroll Administration" etc.
<b>4.16</b> Do controls exist to ensure that direct staff salary costs reflects the actual amount of staff time spent on a project?	Yes			Low	1	As per our review of Financial Policy and Procedure Manual, we noted that the IP has developed proper policy on "Preparation of Timesheets", "Payroll Taxes", "Payroll Administration" etc. As per our discussions with the management and review of time sheets of the employees, we noted that employee must submit to the Administrative Assistant a signed and approved timesheet no later than Friday by 12:00 noon for the check processing to occur the following Wednesday following the close of each pay period. Timesheets shall be prepared in accordance with the following guidelines: 1. Each timesheet shall reflect all hours worked during the pay period (time actually spent on the job performing assigned duties), whether compensated or not 2. Timesheets shall be prepared in ink
<b>4.17</b> Do controls exist for expense categories that do not originate from invoice payments, such as DSAs, travel, and internal cost allocations?	Yes			Low	1	As per our review of Financial Policy and Procedure Manual, we noted that the IP has developed proper policy on "Travel Expense Reimbursement", "Cash Disbursements and Accounts Payable" etc. The Administrative Assistant verifies the rate.
<b>4e. Policies and procedures</b>						
<b>4.18</b> Does the IP have a stated basis of accounting (i.e. cash or accrual) and does it allow for compliance with the agency's requirement?	Yes			Low	1	Based on review of audited financial statements of the IP, we noted that the IP uses accrual basis of accounting.
<b>4.19</b> Does the IP have an adequate policies and procedures manual and is it distributed to relevant staff?	Yes			Low	1	The Ev-K2-CNR has established following detailed policies and procedures: 1) General Principles for The Assignment of Works of Assignments for Expenditure and Specific Prevention Protocol of Tax Offenses 2) Financial policies and procedures manual 3) HR Management Policies & Procedures Manual 4) Monitoring and Evaluation Manual The policies and procedures are readily available in soft and hard form and is easily accessible to all employees.

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
<b>4f. Cash and bank</b>						
<b>4.20</b> Does the IP require dual signatories / authorization for bank transactions? Are new signatories approved at an appropriate level and timely updates made when signatories depart?	Yes			Low	1	As per our review of General Principles for The Assignment of Works of Assignments for Expenditure and Specific Prevention Protocol of Tax Offenses, we noted that the IP has developed proper policy on "Spending powers, expense reports and management of gifts, donations".
<b>4.21</b> Does the IP maintain an adequate, up-to-date cashbook, recording receipts and payments?	Yes			Low	1	The IP maintains an adequate, up-to-date cash book for receipts and payments. Cash book is maintained by accounting system. The cash book is reviewed by the President on monthly basis.
<b>4.22</b> If the partner is participating in micro-finance advances, do controls exist for the collection, timely deposit and recording of receipts at each collection location?			N/A	N/A	-	None
<b>4.23</b> Are bank balances and cash ledger reconciled monthly and properly approved? Are explanations provided for significant, unusual and aged reconciling items?	Yes			Low	1	We have been apprised by the management that the Administrative Assistant prepares the reconciliation statement on a monthly basis, which are reviewed by the President.
<b>4.24</b> Is substantial expenditure paid in cash? If so, does the IP have adequate controls over cash payments?			N/A	N/A	-	All the payments are made through cheque or credit card (with no involvement of cash).
<b>4.25</b> Does the IP carry out a regular petty cash reconciliation?	Yes			Low	1	All the payments are made through cheque or credit card (with no involvement of cash).
<b>4.26</b> Are cash and cheques maintained in a secure location with restricted access? Are bank accounts protected with appropriate remote access controls?	Yes			Low	1	We have been apprised by the management that all cheque book are kept in secure location with restricted access.
<b>4.27</b> Are there adequate controls over submission of electronic payment files that ensure no unauthorized amendments once payments are approved and files are transmitted over secure/encrypted networks?	Yes			Low	1	We have been apprised by the management that electronic payment files that are approved and files are transmitted and secured.
<b>4g. Other offices or entities</b>						
<b>4.28</b> Does the IP have a process to ensure expenditures of subsidiary offices/ external entities are in compliance with the work plan and/or contractual agreement?	Yes			Low	1	Reviewed Expenditures of subsidiary office is compliances with the work plan.
<b>4h. Internal audit</b>						
<b>4.29</b> Is the internal auditor sufficiently independent to make critical assessments? To whom does the internal auditor report?	Yes			Low	1	Based on our discussions with the management and review of organogram, we noted that the IP has an appropriate board of auditors which are in charge of checking the correctness of all administrative, accounting and budget practices and procedures. It communicates its observations and decisions directly to the Board.
<b>4.30</b> Does the IP have stated qualifications and experience requirements for internal audit department staff?	Yes			Low	1	We have been apprised by the management that the Italian law provides for the Companies as well as for the Recognized Associations as for the Foundations, that the legal control of the administrative, accounting and budgetary acts can be exercised by an external company, or by qualified three external professionals.
<b>4.31</b> Are the activities financed by the agencies included in the internal audit department's work programme?		No		N/A	-	An annual audit is carried out with the financial statements and a six-monthly audit with the auditors

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
4.32 Does the IP act on the internal auditor's recommendations?	Yes			Moderate	2	We have been apprised by the management that the I.P acts on the internal auditor's recommendations.
<b>Total number of questions in subject area:</b>	<b>32</b>					
<b>Total number of applicable questions in subject area:</b>	<b>29</b>					
<b>Total number of applicable key questions in subject area:</b>	<b>18</b>					
<b>Total number of risk points:</b>	<b>41</b>					
<b>Risk score</b>	<b>1.4</b>					
<b>Area risk rating</b>	<b>Low</b>					

5. Fixed Assets and Inventory						
<b>5a. Safeguards over assets</b>						
5.1 Is there a system of adequate safeguards to protect assets from fraud, waste and abuse?	Yes			Low	1	We have been apprised by the management that all assets are tagged in office - Physical verification of its assets is performed on annual basis in all offices. The verification is signed by admistartor - Rooms and premises are locked after office hours. Relevant departments are responsible for the safe custody of the assets.
5.2 Are subsidiary records of fixed assets and inventory kept up to date and reconciled with control accounts?	Yes			Low	1	Ev-K2-CNR maintains a Fixed Asset record. - Inventory name; - Purchase details, - Category;- Code; - Partner; - Location: - unit price; - Depreciation; and- Physical condition. the Manager administration provides a unique code to each individual asset.
5.3 Are there periodic physical verification and/or count of fixed assets and inventory? If so, please describe?	Yes			Low	1	We have been apprised by the management that physical verification of inventory is carried out on annual basis.
5.4 Are fixed assets and inventory adequately covered by insurance policies?	Yes			Low	1	As per our discussions with the management and review of insurance policy, we noted that only fixed assets are adequately covered by insurance policies. There is no insurance cover for inventory items.
<b>5b. Warehousing and inventory management</b>						
5.5 Do warehouse facilities have adequate physical security?	Yes			Low	1	We have been apprised by the management that IP's facilities are protected electronically and remotely such as, CCTV monitoring, Fire alarms and fire extinguishers and Adequate security controls such as door locks etc.
5.6 Is inventory stored so that it is identifiable, protected from damage, and countable?	Yes			Low	1	Based on our discussions with the management, we noted that the inventory in warehouses is properly placed in orderly manner and stock register and stock cards are also maintained in the warehouse which provides details of movement in inventory.
5.7 Does the IP have an inventory management system that enables monitoring of supply distribution?	Yes			Significant	6	Based on our discussions with the management, we noted that the IP have an automated inventory management system.
5.8 Is responsibility for receiving and issuing inventory segregated from that for updating the inventory records?	Yes			Significant	3	Based on our discussions with the management, we noted that Logistics and administration staff is responsible for the receiving and issuance of inventory and updating the inventory records.

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
5.9 Are regular physical counts of inventory carried out?	Yes			Moderate	2	We have been apprised by the management that physical verification of inventory is carried out on an annual basis. The report is signed by RR and approved by administrator.
<b>Total number of questions in subject area:</b>	<b>9</b>					
<b>Total number of applicable questions in subject area:</b>	<b>9</b>					
<b>Total number of applicable key questions in subject area:</b>	<b>2</b>					
<b>Total number of risk points:</b>	<b>17</b>					
<b>Risk score</b>	<b>1.9</b>					
<b>Area risk rating</b>	<b>Low</b>					

6. Financial Reporting and Monitoring						
6.1 Does the IP have established financial reporting procedures that specify what reports are to be prepared, the source system for key reports, the frequency of preparation, what they are to contain and how they are to be used?	Yes			Low	1	We have been apprised by the management that Ev-K2-CNR prepares both entity and special purpose Financial Management Statements for each project in conformity with the rules and regulations set by Government of Italy and other relevant governments, donor and regulations. Financial Management Statements consist of detailed budget vs actual expenditure incurred against each project. These financial management statements are presented to the president, who further reports to the BoD. The same are also provided to the donors as and when required. The Audit Reports of each project are subject to annual external audit. Ev-K2-CNR prepares the following statements: - Monthly Bank Reconciliation statement; - Expenditure/Receipt Reconciliation statements - Donor wide report (on need basis)
6.2 Does the IP prepare overall financial statements?	Yes			Low	1	We have been apprised by the management that Ev-K2-CNR prepares over all financial statements and for special purposes financial statements are also prepared as per the reporting requirements agreed with the donors.
6.3 Are the IP's overall financial statements audited regularly by an independent auditor in accordance with appropriate national or international auditing standards? If so, please describe the auditor.	Yes			Low	1	We have been apprised by the management that audit reports of Ev-K2-CNR have been audited by the Studio Commercialisti Associati. Dr. Marcello Mora - Bergamo.
6.4 Were there any major issues related to ineligible expenditure involving donor funds reported in the audit reports of the IP over the past five years?		No		Low	1	As per discussions with the management, we were informed that the EV-K2- CNR have no major issues related to ineligible expenditure involving donor funds reported in the audit reports of the IP over the past five years.
6.5 Have any significant recommendations made by auditors in the prior five audit reports and/or management letters over the past five years and have not yet been implemented?		No		Low	1	As per discussions with the management, we were informed that there were no major recommendations made by auditors in the prior audit reports which have not yet been implemented.
6.6 Is the financial management system computerized?	Yes			Low	1	Ev-K2-CNR uses Sistema Vialibera software for accounting purposes which is capable of generating financial information.

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
6.7 Can the computerized financial management system produce the necessary financial reports?	Yes			Low	1	Ev-K2-CNR computerized financial system generates necessary financial reports such as 1) Trail Balance; 2) General Ledgers; 3) Subsidiary Ledgers such as accounts payable, accounts receivable etc..
6.8 Does the IP have appropriate safeguards to ensure the confidentiality, integrity and availability of the financial data? E.g. password access controls; regular data back-up.	Yes			Low	1	As per our review of the Financial Policies and Procedure Manual, we noted IP has developed detailed policy on "Security".
<b>Total number of questions in subject area:</b>	<b>8</b>					
<b>Total number of applicable questions in subject area:</b>	<b>8</b>					
<b>Total number of applicable key questions in subject area:</b>	<b>3</b>					
<b>Total number of risk points:</b>	<b>8</b>					
<b>Risk score</b>	<b>1.0</b>					
<b>Area risk rating</b>	<b>Low</b>					

7. Procurement and Contract Administration						
<b>7a. Procurement</b>						
7.1 Does the IP have written procurement policies and procedures?	Yes			Low	1	As per review of Financial policies and procedures Manual of the IP, we noted that the IP has developed detailed procurement policies and procedures for goods and services which are comprehensive and covers all aspects of procurement related activities. The IP follows <a href="https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code">https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code</a> for Italy and for Pakistan, IP follows The FMG provided by the head office, according to the laws and regulations of Pakistan.
7.2 Are exceptions to procurement procedures approved by management and documented ?	Yes			Low	1	As per review of Financial policies and procedures Manual of the IP, we noted that the IP has developed detailed procurement policies and procedures for goods and services which are comprehensive and covers all aspects of procurement related activities. The IP follows <a href="https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code">https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code</a> for Italy and for Pakistan, IP follows The FMG provided by the head office, according to the laws and regulations of Pakistan.
7.3 Does the IP have a computerized procurement system with adequate access controls and segregation of duties between entering purchase orders, approval and receipting of goods? Provide a description of the procurement system.	Yes			High	4	We have not been provided any information in this regard.
7.4 Are procurement reports generated and reviewed regularly? Describe reports generated, frequency and review & approvers.	Yes			Low	1	As per review of Financial policies and procedures Manual of the IP, we noted that the IP has developed detailed procurement policies and procedures for goods and services which are comprehensive and covers all aspects of procurement related activities. The IP follows <a href="https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code">https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code</a> for Italy and for Pakistan, IP follows The FMG provided by the head office, according to the laws and regulations of Pakistan.



Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
7.5 Does the IP have a structured procurement unit with defined reporting lines that foster efficiency and accountability?	Yes			Low	1	As per review of Financial policies and procedures Manual of the IP, we noted that the IP has developed detailed procurement policies and procedures for goods and services which are comprehensive and covers all aspects of procurement related activities. The IP follows <a href="https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code">https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code</a> for Italy and for Pakistan, IP follows The FMG provided by the head office, according to the laws and regulations of Pakistan.
7.6 Is the IP's procurement unit resourced with qualified staff who are trained and certified and considered experts in procurement and conversant with UN / World Bank / European Union procurement requirements in addition to the IP's procurement rules and regulations?	Yes			Low	1	As per our discussions with the management and review of Procurement Manual, we noted that the IP has established a separate procurement department that carries out all the procurements. The procurement activities are carried out under the supervision of Alberto Cortinovis with overall experience of more than 15 years and possessing a Bachelors Degree with relevant procurement trainings.
7.7 Have any significant recommendations related to procurement made by auditors in the prior five audit reports and/or management letters over the past five years and have not yet been implemented?			N/A	N/A	-	None
7.8 Does the IP require written or system authorizations for purchases? If so, evaluate if the authorization thresholds are appropriate?	Yes			Low	1	As per review of Financial policies and procedures Manual of the IP, we noted that the IP has developed detailed procurement policies and procedures for goods and services which are comprehensive and covers all aspects of procurement related activities. The IP follows <a href="https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code">https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code</a> for Italy and for Pakistan, IP follows The FMG provided by the head office, according to the laws and regulations of Pakistan.
7.9 Do the procurement procedures and templates of contracts integrate references to ethical procurement principles and exclusion and ineligibility criteria?	Yes			Low	1	As per review of Financial policies and procedures Manual of the IP, we noted that the IP has developed detailed procurement policies and procedures for goods and services which are comprehensive and covers all aspects of procurement related activities. The IP follows <a href="https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code">https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code</a> for Italy and for Pakistan, IP follows The FMG provided by the head office, according to the laws and regulations of Pakistan.
7.10 Does the IP obtain sufficient approvals before signing a contract?	Yes			Moderate	4	We were apprised by the management that Ev-K2-CNR approvals are obtained from president and BOD, for all types of purchases as described above the president sign all the contracts with vendors / suppliers. The payment cheque is signed by authorized bank signatories.
7.11 Does the IP have and apply formal guidelines and procedures to assist in identifying, monitoring and dealing with potential conflicts of interest with potential suppliers/procurement agents? If so, how does the IP proceed in cases of conflict of interest?	Yes			Low	1	As per our review of Financial policies and procedures Manual, we noted that the conflict of interest policy has been incorporated in it.

Subject area	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
7.12 Does the IP follow a well-defined process for sourcing suppliers? Do formal procurement methods include wide broadcasting of procurement opportunities?	Yes			Low	1	As per review of Financial policies and procedures Manual of the IP, we noted that the IP has developed detailed procurement policies and procedures for goods and services which are comprehensive and covers all aspects of procurement related activities. The IP follows <a href="https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code">https://www.codiceappalti.it/Home/Legge/?legge=Italian_Procurement_Code</a> for Italy and for Pakistan, IP follows The FMG provided by the head office, according to the laws and regulations of Pakistan.
7.13 Does the IP keep track of past performance of suppliers? E.g. database of trusted suppliers.	Yes			High	4	IP has a list of our regular and historical suppliers. In any case, according to the needs of the project, requests for offers are also made to other suppliers who are not part of the list. However, we noted that there is no policy of maintaining approved vendor list.
7.14 Does the IP follow a well-defined process to ensure a secure and transparent bid and evaluation process? If so, describe the process.	Yes			Low	1	We have been apprised by the management that IP has developed guidelines to ensure transparency in the procurements conducted through vendors.
7.15 When a formal invitation to bid has been issued, does the IP award the contract on a pre-defined basis set out in the solicitation documentation taking into account technical responsiveness and price?	Yes			Low	1	'Based on our walkthrough of procurement file, we noted that the vendor is selected on the basis of lowest bid price, quality, time of delivery and other terms and conditions as advertised in the tender. Final approval is obtained after the consensus of all the members of the Procurement Committee.
7.16 If the IP is managing major contracts, does the IP have a policy on contracts management / administration?			N/A	N/A	-	As per discussions with the management, we were informed that the EV-K2- CNR does not carry out major contracts.
<b>7b. Contract Management</b>						
7.17 Are there personnel specifically designated to manage contracts or monitor contract expirations?		No	N/A	N/A	-	As per discussions with the management, we were informed that the EV-K2- CNR does not carry out major contracts.
7.18 Are there staff designated to monitor expiration of performance securities, warranties, liquidated damages and other risk management instruments?		No	N/A	N/A	-	As per discussions with the management, we were informed that the EV-K2- CNR does not carry out major contracts.
7.19 Does the IP have a policy on post-facto actions on contracts?		No	N/A	N/A	-	As per discussions with the management, we were informed that the EV-K2- CNR does not carry out major contracts.
7.20 How frequent do post-facto contract actions occur?		No	N/A	N/A	-	As per discussions with the management, we were informed that the EV-K2- CNR does not carry out major contracts.
<b>Total number of questions in subject area:</b>	<b>20</b>					
<b>Total number of applicable questions in subject area:</b>	<b>14</b>					
<b>Total number of applicable key questions in subject area:</b>	<b>5</b>					
<b>Total number of risk points:</b>	<b>23</b>					
<b>Risk score</b>	<b>1.6</b>					
<b>Area risk rating</b>	<b>Low</b>					
<b>Totals</b>						
<b>Total number of questions:</b>	<b>96</b>					
<b>Total number of applicable questions:</b>	<b>82</b>					
<b>Total number of applicable key questions:</b>	<b>37</b>					
<b>Total number of risk points:</b>	<b>120</b>					
<b>Total risk score</b>	<b>1.5</b>					
<b>Overall risk rating</b>	<b>Low</b>					

Standard annex to project documents for use in countries which are not parties to the Standard Basic Assistance Agreement (SBAA)

Standard Text: Supplemental Provisions to the Project Document:  
The Legal Context

General responsibilities of the Government, UNDP and the executing agency

1. All phases and aspects of UNDP assistance to this project shall be governed by and carried out in accordance with the relevant and applicable resolutions and decisions of the competent United Nations organs and in accordance with UNDP's policies and procedures for such projects, and subject to the requirements of the UNDP Monitoring, Evaluation and Reporting System.
2. The Government shall remain responsible for this UNDP-assisted development project and the realization of its objectives as described in this Project Document.
3. Assistance under this Project Document being provided for the benefit of the Government and the people of (the particular country or territory), the Government shall bear all risks of operations in respect of this project.
4. The Government shall provide to the project the national counterpart personnel, training facilities, land, buildings, equipment and other required services and facilities. It shall designate the Government Co-operating Agency named in the cover page of this document (hereinafter referred to as the "Co-operating Agency"), which shall be directly responsible for the implementation of the Government contribution to the project.
5. The UNDP undertakes to complement and supplement the Government participation and will provide through the Executing Agency the required expert services, training, equipment and other services within the funds available to the project.
6. Upon commencement of the project the Executing Agency shall assume primary responsibility for project execution and shall have the status of an independent contractor for this purpose. However, that primary responsibility shall be exercised in consultation with UNDP and in agreement with the Co-operating Agency. Arrangements to this effect shall be stipulated in the Project Document as well as for the transfer of this responsibility to the Government or to an entity designated by the Government during the execution of the project.

7. Part of the Government's participation may take the form of a cash contribution to UNDP. In such cases, the Executing Agency will provide the related services and facilities and will account annually to the UNDP and to the Government for the expenditure incurred.

(a) Participation of the Government

1. The Government shall provide to the project the services, equipment and facilities in the quantities and at the time specified in the Project Document. Budgetary provision, either in kind or in cash, for the Government's participation so specified shall be set forth in the Project Budgets.
2. The Co-operating Agency shall, as appropriate and in consultation with the Executing Agency, assign a director for the project on a full-time basis. He shall carry out such responsibilities in the project as are assigned to him by the Co-operating Agency.
3. The estimated cost of items included in the Government contribution, as detailed in the Project Budget, shall be based on the best information available at the time of drafting the project proposal. It is understood that price fluctuations during the period of execution of the project may necessitate an adjustment of said contribution in monetary terms; the latter shall at all times be determined by the value of the services, equipment and facilities required for the proper execution of the project.
4. Within the given number of man-months of personnel services described in the Project Document, minor adjustments of individual assignments of project personnel provided by the Government may be made by the Government in consultation with the Executing Agency, if this is found to be in the best interest of the project. UNDP shall be so informed in all instances where such minor adjustments involve financial implications.
5. The Government shall continue to pay the local salaries and appropriate allowances of national counterpart personnel during the period of their absence from the project while on UNDP fellowships.
6. The Government shall defray any customs duties and other charges related to the clearance of project equipment, its transportation, handling, storage and related expenses within the country. It shall be responsible for its installation and maintenance, insurance, and replacement, if necessary, after delivery to the project site.
7. The Government shall make available to the project - subject to existing security provisions - any published and unpublished reports, maps, records and other data which are considered necessary to the implementation of the project.

8. Patent rights, copyright rights and other similar rights to any discoveries or work resulting from UNDP assistance in respect of this project shall belong to the UNDP. Unless otherwise agreed by the Parties in each case, however, the Government shall have the right to use any such discoveries or work within the country free of royalty and any charge of similar nature.

9. The Government shall assist all project personnel in finding suitable housing accommodation at reasonable rents.

10. The services and facilities specified in the Project Document which are to be provided to the project by the Government by means of a contribution in cash shall be set forth in the Project Budget. Payment of this amount shall be made to the UNDP in accordance with the Schedule of Payments by the Government.

11. Payment of the above-mentioned contribution to the UNDP on or before the dates specified in the Schedule of Payments by the Government is a prerequisite to commencement or continuation of project operations.

(b) Participation of the UNDP and the executing agency

1. The UNDP shall provide to the project through the Executing Agency the services, equipment and facilities described in the Project Document. Budgetary provision for the UNDP contribution as specified shall be set forth in the Project Budget.

2. The Executing Agency shall consult with the Government and UNDP on the candidature of the Project Manager a/ who, under the direction of the Executing Agency, will be responsible in the country for the Executing Agency's participation in the project. The Project Manager shall supervise the experts and other agency personnel assigned to the project, and the on-the-job training of national counterpart personnel. He shall be responsible for the management and efficient utilization of all UNDP-financed inputs, including equipment provided to the project.

3. The Executing Agency, in consultation with the Government and UNDP, shall assign international staff and other personnel to the project as specified in the Project Document, select candidates for fellowships and determine standards for the training of national counterpart personnel.

4. Fellowships shall be administered in accordance with the fellowships regulations of the Executing Agency.

a/ May also be designated Project Co-ordinator or Chief Technical Adviser, as appropriate.

5. The Executing Agency may, in agreement with the Government and UNDP, execute part or all of the project by subcontract. The selection of subcontractors shall be made, after consultation with the Government and UNDP, in accordance with the Executing Agency's procedures.
6. All material, equipment and supplies which are purchased from UNDP resources will be used exclusively for the execution of the project, and will remain the property of the UNDP in whose name it will be held by the Executing Agency. Equipment supplied by the UNDP shall be marked with the insignia of the UNDP and of the Executing Agency.
7. Arrangements may be made, if necessary, for a temporary transfer of custody of equipment to local authorities during the life of the project, without prejudice to the final transfer.
8. Prior to completion of UNDP assistance to the project, the Government, the UNDP and the Executing Agency shall consult as to the disposition of all project equipment provided by the UNDP. Title to such equipment shall normally be transferred to the Government, or to an entity nominated by the Government, when it is required for continued operation of the project or for activities following directly therefrom. The UNDP may, however, at its discretion, retain title to part or all of such equipment.
9. At an agreed time after the completion of UNDP assistance to the project, the Government and the UNDP, and if necessary the Executing Agency, shall review the activities continuing from or consequent upon the project with a view to evaluating its results.
10. UNDP may release information relating to any investment oriented project to potential investors, unless and until the Government has requested the UNDP in writing to restrict the release of information relating to such project.

#### Rights, Facilities, Privileges and Immunities

1. In accordance with the Agreement concluded by the United Nations (UNDP) and the Government concerning the provision of assistance by UNDP, the personnel of UNDP and other United Nations organizations associated with the project shall be accorded rights, facilities, privileges and immunities specified in said Agreement.
2. The Government shall grant UN volunteers, if such services are requested by the Government, the same rights, facilities, privileges and immunities as are granted to the personnel of UNDP.

3. The Executing Agency's contractors and their personnel (except nationals of the host country employed locally) shall:

(a) Be immune from legal process in respect of all acts performed by them in their official capacity in the execution of the project;

(b) Be immune from national service obligations;

(c) Be immune together with their spouses and relatives dependent on them from immigration restrictions;

(d) Be accorded the privileges of bringing into the country reasonable amounts of foreign currency for the purposes of the project or for personal use of such personnel, and of withdrawing any such amounts brought into the country, or in accordance with the relevant foreign exchange regulations, such amounts as may be earned therein by such personnel in the execution of the project;

(e) Be accorded together with their spouses and relatives dependent on them the same repatriation facilities in the event of international crisis as diplomatic envoys.

4. All personnel of the Executing Agency's contractors shall enjoy inviolability for all papers and documents relating to the project.

5. The Government shall either exempt from or bear the cost of any taxes, duties, fees or levies which it may impose on any firm or organization which may be retained by the Executing Agency and on the personnel of any such firm or organization, except for nationals of the host country employed locally, in respect of:

(a) The salaries or wages earned by such personnel in the execution of the project;

(b) Any equipment, materials and supplies brought into the country for the purposes of the project or which, after having been brought into the country, may be subsequently withdrawn therefrom;

(c) Any substantial quantities of equipment, materials and supplies obtained locally for the execution of the project, such as, for example, petrol and spare parts for the operation and maintenance of equipment mentioned under (b), above, with the provision that the types and approximate quantities to be exempted and relevant procedures to be followed shall be agreed upon with the Government and, as appropriate, recorded in the Project Document; and

(d) As in the case of concessions currently granted to UNDP and Executing Agency's personnel, any property brought, including one privately owned automobile per employee, by the firm or organization or its personnel for their personal use or consumption or which after having been brought into the country, may subsequently be withdrawn therefrom upon departure of such personnel.

6. The Government shall ensure:

(a) prompt clearance of experts and other persons performing services in respect of this project; and

(b) the prompt release from customs of:

(i) equipment, materials and supplies required in connection with this project; and

(ii) property belonging to and intended for the personal use or consumption of the personnel of the UNDP, its Executing Agencies, or other persons performing services on their behalf in respect of this project, except for locally recruited personnel.

7. The privileges and immunities referred to in the paragraphs above, to which such firm or organization and its personnel may be entitled, may be waived by the Executing Agency where, in its opinion or in the opinion of the UNDP, the immunity would impede the course of justice and can be waived without prejudice to the successful completion of the project or to the interest of the UNDP or the Executing Agency.

8. The Executing Agency shall provide the Government through the resident representative with the list of personnel to whom the privileges and immunities enumerated above shall apply.

9. Nothing in this Project Document or Annex shall be construed to limit the rights, facilities, privileges or immunities conferred in any other instrument upon any person, natural or juridical, referred to hereunder.

#### Suspension or termination of assistance

1. The UNDP may by written notice to the Government and to the Executing Agency concerned suspend its assistance to any project if in the judgement of the UNDP any circumstance arises which interferes with or threatens to interfere with the successful completion of the project or the accomplishment of its purposes. The UNDP may, in the same or a subsequent written notice, indicate the conditions under which it is prepared to resume its assistance to the project. Any such suspension shall continue until such time as such conditions are accepted by the Government and as the UNDP shall give written notice to the Government and the Executing Agency that it is prepared to resume its assistance.



2. If any situation referred to in paragraph 1, above, shall continue for a period of fourteen days after notice thereof and of suspension shall have been given by the UNDP to the Government and the Executing Agency, then at any time thereafter during the continuance thereof, the UNDP may by written notice to the Government and the Executing Agency terminate the project.

3. The provisions of this paragraph shall be without prejudice to any other rights or remedies the UNDP may have in the circumstances, whether under general principles of law or otherwise.