ASM-05595 - Quality Assurance - Design

Procedure Year: 2023

Overall Project Risk Categorization: Exemplary

Procedure Status: Approved

Procedure Name: ASM-05595

Procedure Department: CO - Ecuador - Quito

Procedure Type: Design

Record Owner: Gabriela Jarrin

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Decision:

QA Summary/Project Board Comments:

RELATED PROJECTS(1)

NAME	DEPARTMENT	STATUS	ATLAS PROJECT NUMBER	START DATE	END DATE
01001592	CO - Ecuador - Quito	On Going		9/1/2023	9/30/2026

RELATED SESPS(1)

PARENT PROCEDURE	PROCEDURE TYPE	PROCEDURE YEAR
ASM-05594	SESP (Social and Environmental Screening Procedure)	2024

Approval History

Approval Date: Thu Mar 28 00:00:00 GMT 2024

Approved By: Claire MEDINA <claire.medina@undp.org>

APPROVAL HISTORY

STEP NAME	DATE	STATUS	ASSIGNED TO
Submitted for Approval	2024-03-28 11:43:08	Approved	Veronica Bohorquez
Submitted for Approval	2024-03-28 11:42:27	Reassigned	Veronica Bohorquez

Identified Risks & Treatments

Category: 4. Organizational

Risk Significance: Low

Risk Significance: Low

Sub-Category: 4.3. Implementation arrangements

Event:

Riesgo 4: No existe una visión nacional para promover negocios sostenibles y posicionar productos verdes en el mercado nacional e internacional y consolidar un portafolio de proyectos verdes.

Causes:

Cambio en el enfoque de las políticas públicas. Transición de autoridades

Impact:

Dificultades en la implementación del Proyecto y en los procesos de institucionalización

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMM
Reuniones con el financiador y socios del proyecto para evaluar la suspensión temporal de las actividades del proyecto en caso de escenarios de fenómenos naturales y la presencia de agentes que violen la salud pública y alimentaria, con la correspondiente reprogramación operativa y presupuestaria.		11/30/2026	Not Started	

Category: 4. Organizational

Risk Significance: Low

Risk Significance: Low

Sub-Category: 4.2. Execution capacity

Event:

Riesgo 1: Las principales instituciones públicas y privadas no se comprometen en apoyar las actividades del proyecto y no proporcionan información relevante sobre los marcos legales, técnicos y de necesidades para la Transición Ecológica.

Causes:

Cambio en el enfoque de políticas públicas de las autoridades

Impact:

Dificultades en la implementación del Proyecto considerando que el Proyecto tiene un importante enfoque participativo

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMM
Generar documentos vinculantes con instituciones públicas y privadas clave para fortalecer su compromiso con el proyecto y el nombramiento de funcionarios como parte de los equipos de apoyo.		11/30/2026	Not Started	

Risk Significance: Low

Sub-Category: 4.2. Execution capacity

Event:

Riesgo 2: Los espacios participativos no se forman debido a la falta de liderazgo e interés por parte de las instituciones públicas y privadas involucradas.

Causes:

Bajo interés por parte de los actores públicos, privados y del sector financiero en temas de transición ecológica

Impact:

Dificultades en la implementación del Proyecto considerando que el Proyecto tiene un importante enfoque participativo

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMM
Articulación con espacios participativos previamente definidos por la normativa para que generen una red de actores involucrados en el análisis y debate de la implementación de la Transición Ecológica.		11/30/2026	Not Started	

Risk Significance: Low

Sub-Category: 4.2. Execution capacity

Event:

Riesgo 5: No hay apoyo de los bancos públicos y privados para establecer nuevos conceptos, mecanismos y estrategias internas para el posicionamiento de productos financieros verdes y mejorar la demanda del sector productivo.

Causes:

El sector financiero no encuentra un valor agregado a su negocio la gestión de productos financieros verdes

Impact:

Dificultades en la implementación del Proyecto

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMM
Coordinación de espacios de consulta con instituciones multilaterales, asociaciones y Superintendencias vinculadas al sector financiero, para definir compromisos de apoyo en la ejecución de actividades orientadas al fortalecimiento de las instituciones financieras para mejorar sus procedimientos de entrega de productos y mecanismos de financiamiento verde.		11/30/2026	Not Started	

Risk Significance: Low

Sub-Category: 4.2. Execution capacity

Event:

Riesgo 3: empresas de la emblemática cadena productiva no están interesadas en firmar el APL.

Causes:

Impact:

Dificultades en la implementación del Proyecto considerando que el Proyecto tiene un importante enfoque participativo

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMM
Coordinación con el MPCEIP, ONUDI y CEER para difundir a través de eventos nacionales y locales, los beneficios de aplicar el APL.		11/30/2026	Not Started	

QA Questionnaire:

Strategic Status: Complete Quality Rating: Exemplary

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 information icon for these cases.
*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto cuenta con un esquema y descripción de Teoría del Cambio. Para cada nivel de intervención se propone una cadena de productos y actividades, reflejadas en el marco de resultados y plan de trabajo que permite además visualizar los objetivos y resultados de la intervención, vinculados a la Teoría de Cambio del Programa País. Además, se han identificado los factores externos al proyecto que son susceptibles de potencializar.

El proyecto busca armonizar la normativa sobre la transición ecológica aportando al Efecto 2 del Programa de Páis, así como generar y proteger los empleos e ingresos de las comunidades y personas que están vinculadas a las cadenas de valor con las que se trabajará procesos de mejora y sostenibilidad, contribuyendo así a la reducción de la pobreza y a una mayor resiliencia de las comunidades . Se han

identificado las causas que generan los desafíos que hay que lograr revertir para alcanzar el objetivo del proyecto, y consecuentemente, se identificaron las causas subyacentes, que influyen en el contexto y resultado. (Evidencia: Teoría del Cambio, PRODOC).

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 and adapts at least one Signature Solution. 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. 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.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El Proyecto resulta relevante en el marco de las prioridades nacionales y globales de la siguiente manera:

- Plan Nacional de Desarrollo 2021 - 2025: en este instrumento establece como una de sus directrices de la Estrategia Territorial Nacional a la gestión del territorio para la transición ecológica, mientras que, dentro de los ejes para la creación de oportunidades, contempla los objetivos 11, 12 y 13 en el eje de Transición Ecológica.
- Agenda 2030 para el Desarrollo Sostenible; contribuirá directamente a los ODS 1, 5, 8, 9, 12, 13 y 17.
- Marco de Cooperación de las Naciones Unidas para el Desarrollo 2022-2026; de manera directa al Efecto 2, Gestión Ambiental y Acción Climática; y, Efecto 3 Igualdad socioeconómica y transformación productiva sostenible.
- Plan Estratégico del PNUD (2022- 2025); en su eje 2 Gestión medioambiental y acción por el clima hacia una transición ecológica, inclusiva y resiliente. Y en su eje 3 productividad, competitividad y medios de vida inclusivos, sostenibles e innovadores.

3. Is the project linked to the programme outputs? (i.e., UNSDCF/CPD, RPD or Strategic Plan IRRF for strategic interventions not part of a programme)

- (●) YES
- ( ) NO

*Note: Project QA cannot be approved by Project QA Approver when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto vincula sus resultados y productos a las prioridades establecidas en el marco programático. (Evidencia: PRODOC)

Relevant | Status: Complete | Quality Rating: Exemplary

4. Does the project identify target groups , and particularly those marginalized, vulnerable, and left further behind (LNOB)?

- (●) 3: The target groups are clearly specified, prioritizing those left furthest behind, identified through a rigorous process based on evidence.
- ( ) 2: The target groups are clearly specified, prioritizing those left furthest behind.
- ( ) 1: The target groups are not clearly specified.

*Note: Risk management must be done for criteria with score of 1. Projects that build institutional capacity should still identify target groups to justify support.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Con respecto a lo/as beneficiario/as directo/as del Proyecto abarca instituciones del sector público, tanto de Gobierno Central como Gobiernos Locales, el sector privado considerando cadenas de valor priorizadas, así como el sector financiero tanto del sector bancario como de la economía popular y solidaria. Este proyecto está enfocado principalmente en el sector productivo del país, buscando promover medios de vida sostenible para los más pobres y vulnerables.

(Evidencia: PRODOC)

5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?

- (●) 3: Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.
- ( ) 2: The project design mentions knowledge and lessons learned backed by evidence/sources but have not been used to justify the approach selected.
- ( ) 1: There is little, or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El PRODOC ha sido elaborado tomando en cuenta los conocimientos y expertise del PNUD en las diferentes líneas programáticas aquí establecidas, así mismo se parte de los resultados alcanzados del proyecto precedente que ha dejado una serie de lecciones aprendidas para evitar la repetición de los errores y mejorar en la implementación de las acciones. Por otro lado, durante la implementación se desarrollarán espacios de intercambio y experiencias para la producción de conocimiento. (Evidencia: PRODOC)

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?

- (●) 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (all must be true)
- ( ) 2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.
- ( ) 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Con la gestión del Proyecto se asegurará que los resultados previstos en los objetivos y metas sean coherentes con la concepción y los fines de la Política Nacional del Gobierno del Ecuador y los objetivos de Naciones Unidas, particularmente del Programa de las Naciones Unidas para el Desarrollo en el Ecuador (PNUD), específicamente en los procesos de promoción de la transición ecológica y mejora en la productividad. La elaboración del PRODOC ha sido participativa y en estrecha coordinación con los actores involucrados. (Evidencia: PRODOC)

Principled | Status: Complete | Quality Rating: Exemplary

7. Does the project apply a human rights-based approach?

- 3: The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true)
- 2: 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. (both must be true)
- 1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El PNUD reconoce la integralidad de los derechos humanos, para el desarrollo sostenible, la distribución equitativa de las oportunidades y los beneficios del desarrollo y se ha comprometido a asegurar el respeto universal y efectivo de los derechos y libertades fundamentales de hombres y mujeres. En este proyecto, el PNUD defenderá los principios de rendición de cuentas y el estado de derecho, la participación y la inclusión, la igualdad y la no discriminación, teniendo en cuenta que los motivos de discriminación prohibidos incluyen la raza, etnia, género, edad, idioma, discapacidad, orientación sexual, religión, opinión política o de otra índole, origen nacional, o social o geográfica, posición económica, nacimiento o cualquier otra condición que como indígena o como miembro de una minoría. El PNUD también asegurará la participación eficaz, efectiva e informada de las partes interesadas en la formulación, ejecución, seguimiento y evaluación del proyecto.

(Evidencia: PRODOC / SESP)

8. Does the project use gender analysis in the project design?

- 3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. (all must be true)
- 2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. (all must be true)
- 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Se prestará una atención especial a la situación diferenciada de hombres y mujeres y se implementarán estrategias que tomen en cuenta estas diferencias. Se implementará actividades a nivel de la población sujeto de intervención y gobiernos subnacionales, que instalen oportunidades de generación de ingresos equitativas para hombres y mujeres. (Evidencia: PRODOC)

9. Did the project support the resilience and sustainability of societies and/or ecosystems?

- 3: Credible evidence that the project addresses sustainability and resilience dimensions of development

challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true)

- ( ) 2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. (both must be true)
- ( ) 1: Sustainability and resilience dimensions and impacts were not adequately considered.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Dado el enfoque multidimensional de la estrategia del Proyecto, el PNUD velará porque la sostenibilidad del medio ambiente y la mayor resiliencia en sus comunidades se incorpore sistemáticamente en el proyecto a través de sus actividades, productos y resultados. En este proyecto, el PNUD apoyará a los diferentes actores involucrados en abordar las principales dimensiones del desarrollo, y fortalecer la gestión y protección del medio ambiente y sus comunidades. (Evidencia: SESP). Además, se asegurará el monitoreo permanente de los aspectos ambientales en la obra, adaptando las medidas preventivas necesarios y/o de mitigación en caso de presentarse algún riesgo vinculado con el tema ambiental.

10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of the preparation and dissemination of reports and communication materials; organization of events, workshops, or training; strengthening capacities of partners to participate in international negotiations and conferences; partnership coordination (including UN coordination) and management of networks; and global/regional projects with no country-level activities as well as Development Effectiveness projects and Institutional Effectiveness projects. [If yes, upload the completed checklist. If SESP is not required, Select all exemption criteria that apply.]

- (•) Yes
- ( ) No
- ( ) SESP not required because project consists solely of (Select all exemption criteria that apply)

***Applicable only to option "SESP not required"**

- [ ] 1: Preparation and dissemination of reports, documents and communication materials
- [ ] 2: Organization of an event, workshop, training
- [ ] 3: Strengthening capacities of partners to participate in international negotiations and conferences
- [ ] 4: Partnership coordination (including UN coordination) and management of networks
- [ ] 5: Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes)
- [ ] 6: UNDP acting as Administrative Agent
- [ ] 7: Development Effectiveness projects and Institutional Effectiveness projects

*Note: Project QA cannot be approved by Project QA Approver when the response is “No”.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Se ha realizado el Diagnóstico Ambiental y Social. (Evidencia: SESP)

Management & Monitoring Status: Complete Quality Rating: Exemplary

11. Does the project have a strong results framework?

- (•) 3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated

indicators where appropriate. (all must be true)

2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)

1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. (if any is true)

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Frente a los desafíos actuales de desarrollo se plantea un gran resultado para el proyecto con tres productos y actividades. El marco de resultados es lo suficientemente fuerte y permitirá apuntar a la transición ecológica en el país con el consecuente impacto en el desarrollo sostenible, promoción de medios de vida para las personas. (Evidencia: Sección VI PRODOC)

12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?

3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true)

2: The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)

1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

En el PRODOC se ha establecido claramente el mecanismo de gobernanza del proyecto definiendo su composición y los respectivos roles y responsabilidades. Específicamente, el mecanismo de gobernanza del proyecto (es decir, la Junta Directiva del Proyecto) efectuará revisiones periódicas del proyecto para evaluar su desempeño y revisar el Plan de Trabajo Plurianual, a fin de asegurar una elaboración del presupuesto realista durante la vida del proyecto. En el transcurso del último año del proyecto, se realizará una revisión final del proyecto para captar las lecciones aprendidas y debatir aquellas oportunidades para escalar y socializar los resultados del proyecto y las lecciones aprendidas con los actores relevantes. (Evidencia: PRODOC)

13. Have the project risks been identified using the risk assessment tools (Project Quality Assurance, Social and Environmental Screening Procedure, Partner Capacity Assessment Tool, Harmonized Approach to Cash Transfer, Private Sector Due Diligence, etc., if applicable), with clear plans stated to manage and mitigate each risk?

3: Project risks related to the achievement of results are fully described in the project risk register, 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, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. (both must be true)

2: Project risks related to the achievement of results are identified in the initial project risk register based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.

1: Some risks may be identified in the initial project risk register, 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, no initial risk log is included with the project document and/or no security risk management process has taken place

for the project.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Se ha hecho un análisis a profundidad sobre los riesgos y medidas de mitigación. Es indispensable realizar un monitoreo permanente de los riesgos principales bajo los cuales operará y que han sido identificados en la Matriz de Riesgos y explicados en detalle en el PRODOC. (Evidencia: Anexo 4 Análisis de Riesgos.

Efficient | Status: Complete | Quality Rating: Exemplary

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design?

- (●) Yes
- ( ) No

*Note: Risk management must be done when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

La estrategia del Proyecto está diseñada con el fin de maximizar la relación costo-eficiencia y efectividad a fin de lograr los mejores resultados con los recursos disponibles descritos en el marco de resultados y que hacen parte de la teoría del cambio. De esta manera se espera desarrollar operaciones conjuntas con otros actores para buscar sinergias y aprovechar la expertise de otros actores públicos y privados, así como de otros programas y proyectos de las agencias del Sistema de Naciones Unidas, Organismos de Cooperación Internacional y Sociedad Civil. Adicionalmente se buscará maximizar la eficiencia al trabajar de manera coordinada con la estructura de funcionamiento de la Oficina. (Evidencia: PRODOC)

15. Is the budget justified and supported with valid estimates?

- (●) 3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.
- ( ) 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.
- ( ) 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

En el PRODOC se menciona el presupuesto requerido para la ejecución de las actividades. Los costos se respaldan con estimaciones válidas. Para las operaciones y servicios solicitados se han realizado estimaciones con base en experiencias previas para identificar los montos. Los demás costos han sido analizados con al interior de la oficina del PNUD.

16. Is the Country Office / Regional / Global Project fully recovering the costs involved with project implementation?

- (●) 3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full

costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)

2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.

1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

*Note: Risk management must be done for criteria with score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto cuenta con el financiamiento de la Unión Europea, en este se ha contemplado todos los costos previstos para su operación.

Effective | Status: Complete | Quality Rating: Exemplary

17. Have target groups, and particularly those marginalized, vulnerable, and left further behind (LNOB), been engaged in the design of the project?

3: Credible evidence that all target groups, prioritising discriminated, vulnerable, and marginalized segments of the population that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage, and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)

2: Some evidence that key target groups have been consulted in the design of the project.

1: No evidence of engagement with target groups during project design.

Not Applicable

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto cuenta con el financiamiento de la Unión Europea, en este se ha contemplado todos los costos previstos para su operación.

18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?

Yes

No

*Note: Risk Management must be done when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Se tiene previsto elaborar informes técnicos de avance anual, así como también el aseguramiento de la calidad mediante la recolección de lecciones aprendidas, todo de conformidad con las políticas y procedimientos de programación del PNUD. Se ha desarrollado en el PRODOC un asección relacionada al marco de monitoreo y evaluación del proyecto. (Evidencia: PRODOC)

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.

Yes

No

*Note: Risk management must be done when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

GEN 2. Se prestará una atención especial a la situación diferenciada de hombres y mujeres, y se implementarán estrategias que tomen en cuenta estas diferencias. (Evidencia: PRODOC)

20. Have societal digital risks and opportunities been taken into account when designing the project's approach and have digital or data technology solutions been considered to enhance the efficiency, effectiveness and scalability of project results?

- ( ) 3: To the extent possible, societal digital risks and opportunities have been investigated when designing the strategy and Theory of Change, and the potential use of digital or data technologies in project activities has been considered in line with UNDP's digital standards and data principles. (All must be true)
- ( ) 2: Only the potential use of digital or data solutions in project activities has been considered in line with UNDP's digital standards and data principles, but there is no or limited evidence that aspects of inclusive digital societies have been considered in the design of the strategy or Theory of Change.
- ( ) 1: Neither societal digital risks and opportunities, nor digital or data technology solutions were specifically considered in the project design or, UNDP's digital standards and data principles are not taken into account when intending to use digital or data technology solutions in project activities.
- (•) Digital considerations are not relevant to this project.

***Applicable only to option "Digital considerations are not relevant"**

- [x] 1: Societal digital transformation is not a government or contextual priority
- [ ] 2: A non-digital approach yields higher effectiveness and efficiency
- [ ] 3: Other (specify in the "Evidence" section)

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto, construido con todas las contrapartes, busca hacer efectiva la transición ecológica y la transformación digital no es una prioridad en este contexto específico para los socios. De todas formas, no se descarta el uso de soluciones tecnológicas para la implementación del proyecto.

Sustainability & National Ownership | Status: Complete | Quality Rating: Exemplary

21. Have national / regional / global partners led, or proactively engaged in, the design of the country / regional / global project, respectively?

- (•) 3: National / regional / global partners have full ownership of the country / regional / global project and led the process of the development of the project jointly with UNDP.
- ( ) 2: The project has been developed by UNDP in close consultation with national / regional / global partners.
- ( ) 1: The project has been developed by UNDP with limited or no engagement with national partners.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El Documento de Proyecto (PRODOC) ha sido elaborado en estrecha coordinación con los actores involucrados a través de una seire de mesas y entrevistas. (Evidencia: PRODOC)

22. Are key institutions and systems identified, and is there a strategy for strengthening specific / comprehensive capacities based on capacity assessments conducted?

- (•) 3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.
- ( ) 2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.

- 1: Capacity assessments have not been carried out
- Not Applicable

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto tiene una estrategia integral para fortalecer las capacidades específicas de las instituciones nacionales, locales, actores del sector privado de la economía real y sistema financiero sobre la base de una evaluación de las capacidades detallada y ya completada. Esta estrategia incluye un enfoque de monitoreo periódico de las capacidades nacionales, utilizando indicadores claros y métodos rigurosos para la recolección de datos, y el ajuste de la estrategia para fortalecer las capacidades nacionales de un modo acorde. (Evidencia: PRODOC).

23. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

- Yes
- No
- Not Applicable

*Note: Risk management must be done when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Si, existe una estrategia clara para aprovechar las plataformas de gestión de los sistemas nacionales, así como articular las acciones del proyecto con resultados previos que permitan la optimización de recursos.

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

- Yes
- No

*Note: Risk management must be done when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto dispone de un importante componente de participación con los actores públicos, privados y financieros. El proyecto busca mejorar o instalar capacidades en estos actores para promover procesos de transición ecológica, es decir, los procesos se estarán institucionalizados desde un inicio en estos actores. Adicionalmente, el proyecto plantea la gestión de una plataforma multiactor que permita continuar con políticas, programas y proyectos alrededor de la transición ecológica.