

**PROJECT DOCUMENT**  
**[China]**



Empowered lives.  
Resilient nations.

**Project Title:** "Zero Waste" Community Development Project

**Project Number:** 00130188 (output ID)/00141652 (award ID)

**Implementing Partner:** UNDP

**Start Date:** 1<sup>st</sup> May **End Date:** 31<sup>st</sup> Dec. 2026

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Security Resident Representative  
PAC Meeting date: 2<sup>nd</sup> Dec.2021

**Brief Description**

With China's rapid urbanization and high economic growth, waste increase is becoming a prominent environmental problem. Landfill or other waste treatment in some cities is in full load or overload situation. If there are no new facilities, waste is disposed by means of stacking in the open, which causes the phenomenon of 'garbage siege'. The environmental crisis represented by 'garbage siege' indicates that the development model of 'mass production, mass consumption, and mass waste', called industrial civilization, is unsustainable. Due to the tight land resources and dense population, the traditional landfill disposal is no longer enough to meet the needs of sustainable development of the city. Therefore, environmentally sound treatment of waste, including recycling and re-utilization, is a crucial necessity. It is also a matter of social justice for vulnerable groups such as children. For example, relevant studies have shown that children exposed to a large amount of untreated garbage and waste are more likely to suffer from malnutrition, anaemia, dental fluorosis, and mental retardation caused by heavy metal poisoning. This only represents one of many social injustices caused by waste pollution. Evidence has shown that the pollution has a greater negative impact on other vulnerable groups such as pregnant women and people working in informal sectors of waste collection.

The three R's – reduce, reuse, and recycle is the main principle of waste management. They all help to cut down on the amount of waste we throw away. They conserve natural resources, landfill space and energy and prevent waste from ending up in our oceans.

This project will support NGOs to use the three R's of waste management hierarchy at the community level. The short-term goal is to support NGOs to carry out all categories of domestic waste management in the community, showing their importance to governments and enterprises. The long-term goal is to enhance the capability of NGOs in resolving related problems and strengthening the influence of NGOs on sound waste management. Ultimately, it strives to achieve the goal of establishing a "net zero waste" community, and to build up a model for the construction of an 'Ecological Civilization'.

Furthermore, the goal of this project is more than establishing a model of community-level waste management. It also aims to establish awareness of waste reduction and classification, so that the concept of waste re-utilization can be deeply rooted in the hearts of the people.

<p><b>Contributing Outcome (UNDAF/CPD, RPD or GPD):</b> UNSDCF Outcome 3: People in China and the region benefit from a healthier and more resilient environment.</p> <p>Indicative Output(s) with gender marker<sup>2</sup>: GEN 2</p>	<b>Total resources required:</b>	6million CNY	
	<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	
		<b>Donor (Vanke Foundation):</b>	6million CNY
		<b>Government:</b>	
		<b>In-Kind:</b>	

Agreed by (signatures):

UNDP	Vanke Foundation
<p>Print Name: <b>James George</b> <b>Deputy Resident Representative</b></p>  	<p>Print Name:</p>  
<p>Date: <i>Mar. 14 2022</i></p>	<p>Date: <i>2022.3.15</i></p>

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## I. DEVELOPMENT CHALLENGE

In recent decades, with China's rapid urbanization and high economic growth, environmental problems have also plagued urban communities in China. According to 2020 Annual Report of Solid Waste Environmental Pollution Control in Large and Middle-sized Cities in China, 196 large and middle-sized cities generated around 1.6 billion tons of wastes in one single year of 2020, of which about 235.6 million tons is domestic waste. With the acceleration of urbanization process and the improvement of living standards, urban domestic garbage is still increasing at a rate of 5%~8% per year. Two-thirds of domestic cities are expected to be surrounded by garbage. Due to scarce land resources and dense population, the traditional landfill disposals are no longer sufficient to be used as a sustainable waste management option. Therefore, sustainable waste management, including reducing, reusing, and recycling becomes an urgent priority. Furthermore, garbage that has not undergone any treatment, including extremely perishable organic garbage and heavily polluted hazardous garbage, can cause serious harm to the surrounding soil and water sources. Therefore, environmentally sound treatment and recycling of garbage is the top priority of garbage disposal.

In 2020, 12 departments jointly issued the "Opinions on Further Promoting the Classification of Household Waste", which proposed to achieve a 35% recycling rate of domestic waste in cities across the country in the next five years. According to relevant data from the Ministry of Housing and Urban-Rural Development in September 2021, among the 46 major cities that piloted the waste sorting programme, the average recycling rate of domestic waste was 30.4%, and only 15 cities reached the target (35%). Taking Shanghai as an example, in 2020, the disposal amount of wet waste and hazardous waste increased by 140% and 1460% respectively. Around 7,000 tons of recyclables are collected in Shanghai, and the recycling rate has reached 37%. If the wet garbage is not separated, it will contaminate the recyclables which consequently lower the recycling rate.

Based on the experiences from Shanghai, it is essential to establish an effective and precise waste sorting and recycling system. The challenges include optimizing the rules and regulations, developing the tracing system, improving the cooperation among different stakeholders, and consistently educating the public etc. However, waste management process is complicated and difficult. The three R's, which covers concept of reduction, reuse, and recycling, is introduced to guide the management.

The sustainable utilization of garbage as resources is directly linked to garbage sorting, but it is not easy to link garbage sorting from end to end at each point, and the most difficult part of the sorting is at community level. It is not that the communities are unwilling to classify or undertake the correct sorting; but the advocacy and education for residents is lacking, and the system that supports communities' continuous classification is imperfect, which leads to communities not correctly classifying, or not sustaining the required classification behaviour. Lack of effective communication mechanisms between the upper-level and the grassroots is also another challenge.

As a middle-level organization, local NGOs play an important role. For waste sorting, NGOs are deeply involved in communities and can summarize appropriate and effective waste sorting methodologies adapted to the needs of different communities. NGOs can also promote community governance, such as cultivating community volunteers, and bridging interests by uniting different parties with conflicting priorities. As NGOs accompany the community for a relatively long period of time, they can foster a fundamental change of communities' behaviours. Moreover, NGOs can also advocate for promoting policies and legislation, realizing public will and demand and promoting localized use waste as resources.

For example, in Shanghai, 232 thousand tons of various wastes are produced every day. Construction waste is the largest component, 152 thousand tons every day, which is equivalent to 1/4 of the total building materials weight of Shanghai Jin Mao Tower. Besides, household waste

and kitchen waste generated directly by the community also exceeds 25,000 tons per day. The "garbage siege" has impacted everyone in every community in the city, regardless of whether they are men, women, or children. If waste is not properly handled, public goods such as water, air, and soil will face serious pollution risk, which will endanger public health. The lack of a reasonable waste recycling mechanism is also a loss in the context of increasing shortage of mineral resources.

The environmental crisis represented by the "garbage siege" indicates that the development model of "mass production, mass consumption, and mass waste", called 'industrial civilization' in the past, is unsustainable. As the country's development focus shifts from 'industrial civilization to ecological civilization' with the development model of 'reasonable production, moderate consumption, and recycling waste', the problem of urban waste is at a turning point. The waste sorting and recycling projects piloted in major cities such as Shanghai has become a pioneering attempt to end this crisis and offers valuable lesson. This urgently calls for cooperation among governments, NGOs, and enterprises to promote market-oriented of waste classification system and pilot a set of scalable models that can deal with the challenge.

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## **II. STRATEGY**

Lacking sound waste management system is the key challenge to build up the "net zero waste" community, the immediate causes, underlying causes, and root causes are concluded as follows:

### **(1) Immediate Causes**

Waste sorting requests every individual's participation but human behavioural changing is a complicated, gradual, and continuous process.

### **(2) Underlying Causes**

#### **A. Insufficient engagement of NGOs and lack of guidance.**

The responsibility subject of domestic waste sorting at community is property company/unit or villagers committee but they don't know how to get support and help from NGOs although they have the demand.

#### **B. NGOs lack of funding and manpower**

Due to lack of capital support, there are few large-scale NGOs focusing on building "net zero waste" community.

#### **C. Residents lack of awareness and interests**

Garbage sorting, to some extent, will bring inconvenience to residents' daily life. Some residents are not motivated to do it.

### **(3) Root causes**

#### **A. Poor waste management strategy**

Currently, the urban sanitation system and the renewable resource system are not effectively integrated. Sanitation system only focuses on waste collection, cleaning and transportation but doesn't care about waste sorting. Renewable resource system has the capacity of deal with recyclable waste but has no access to community waste collection. The integration of the two systems can better manage community waste.

#### **B. Shortage of cooperation**

In the waste management chain, teaching residents to classify waste at the front-end is not profitable, while waste recycling to become resources at the back end is profitable. But if there is no input at the front-end, it will increase the sorting cost at the back end. To achieve a win-win goal, the front-end and back-end parties must cooperate.

#### **C. The issue of excessive consumption**

People's living standard continue to improve with the continuously economic development in China. Meanwhile, consumers buy lots of unnecessary stuff. Excessive consumption has resulted in more wastes.

#### **D. Lack of women's empowerment**

Women play an important role in domestic waste management. However, they are not well mobilized at community level.

The overall target of this project aligned to the country programme is decoupling economic growth from environmental impact. In this regard the project will contribute to promoting a circular economy to reduce waste emission and enable continual use of waste as resources. The project will also promote sustainable consumption through advocacy, education, and public behavioural changes. Furthermore, it will also support building 'waste-free cities' through the classification of urban household waste and improvement of public capacity on waste management.

The project strategy is to contribute to the establishment of "net zero waste" communities and develop sustainable waste management as a pathway to 'waste free city'. This will be achieved through supporting NGOs that working at community to facilitate residents to follow three R's principles of waste management; cultivating more communities to participate in all categories waste sorting and enhancing waste management efficiency; promoting NGOs value of social governance in community waste management to be fully recognized by all sectors of society.

According to the 7<sup>th</sup> National Census Bulletin, male accounts for 51.24% and female accounts for 48.76% of the total population in China. Women will be the target group to achieve 'zero waste' community as they play multiple roles in society and at home as occupation female, housewife, mother, and daughter. This project will empower women's participation in project design, implementation, and evaluation. Especially through women's role as mother, this project will engage more children and youth to community waste reducing, reusing, and recycling activities.

The three R's (Reduce-Reuse-Recycle) concept is a sequence of steps on how to manage waste properly. The top priority is reducing, which is to reduce waste generation, then reuse, and then recycle, to give waste material a second chance before disposing them to the landfill. This project will support NGOs advocacy, education, and campaign to change public mindset and behaviour, for example, reducing waste generation from the start by bringing your own shopping bags, using products that can be used repeatedly, establishing micro second-hand exchange market at community etc. Waste sorting is the precondition of 'recycling'. This project will support communities to conduct all categories waste sorting. For example, using kitchen waste to compost fertilizer used in community's garden, establishing temporary storage site of hazardous domestic waste, and linking renewable resource enterprise to deal with community recyclables.

Shanghai's successful experience in waste classification can be used as an ideal reference. Shanghai has formed a set of comprehensive solutions by combining the urban sanitation system and the renewable resource system network, called 'the Combined Network'. This enables waste reduction and environmentally sound treatment, improves the re-utilization efficiency of renewable resources, and extends the value of urban mines. Since 2020, laws relevant to recycling have become more comprehensive, and it lays a solid foundation for effective recycling.

An end of system waste treatment is necessary to achieve sustainable disposal of community waste. If the collected waste is directly sent to landfill or incinerated, the classification stage becomes meaningless. Having the end-of-system waste treatment ability does not mean that the target community must deal with all the waste produced, instead, the treatment of certain waste such as hazardous waste can be collected and transported for centralized disposal, indicating the community should have the capacity to temporarily store, collect, and transport the hazardous wastes.

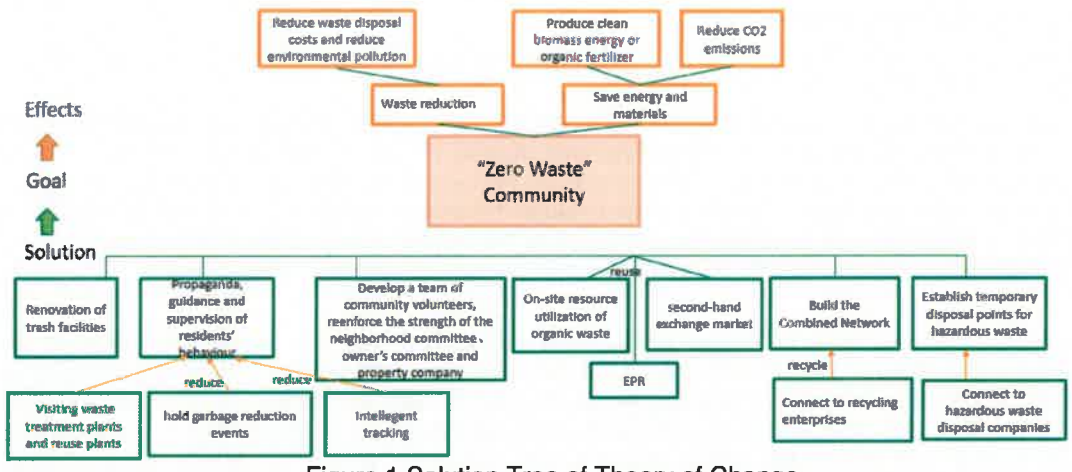


Figure 1 Solution Tree of Theory of Change

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### **III. RESULTS AND PARTNERSHIPS**

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

Outcome 1: Innovative community-based tools and approaches demonstrated, deployed, and transferred to achieve environmentally sound chemicals and waste management.

Indicator 1.1: the amount of solid waste reduction

Indicator 1.2: the rate of resident participation

Indicator 1.3: a safe temporary storage place for hazardous waste

Outcome 2: The waste management capacity of communities and local NGOs strengthened

Indicator 2.1: # direct project beneficiaries disaggregated by gender (individual people)

Indicator 2.2: # indirect project beneficiaries disaggregated by gender (individual people)

Indicator 2.3: the percentage of female volunteers

Indicator 2.4: number of technical training received by NGOs/communities

The project does not only aim to build a waste management model at the community-level, but also intends to establish awareness of waste reduction and classification, so that the concept of waste re-utilization can be deeply rooted in the hearts of the people. The expected outcome of this project will include advocacy, media campaign and an incentive system that assesses reward and punishment.

The project results directly feed into the following UNSDCF / UNDP CPD Outcomes / Outputs:

UNDP CPD Output #1 / UNSDCF Outcome 3: People in China and the region benefit from a healthier and more resilient environment.

CPD Output 2.2: Reduction at (subnational level) in greenhouse gas (GHG) emissions. In phase reduction in consuming of ozone depleting substance (ODS).

Indicative Indicator 2.2.a: GHG/ODS emissions in target areas

CPD Output 2.4: Capacity of target government bodies enhanced to reduce environmental footprint at targeted areas.

Indicative Indicator 2.4: Number of public-private partnerships at targeted areas to advance sustainable low-carbon practices

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

This project will provide support to achieve global environmental benefits (GEBs) and sustainable development goals at the community level. This project will strengthen the capacity of communities and civil society organizations, increases their knowledge and awareness about environmental threats, and provides them financial support to overcome short-term decision-making that negatively affects environment. In this way, this project delivers five key categories of development results, often interrelated namely: (i) global environmental benefits; (ii) socio-economic benefits; (iii) innovation; (iv) capacity development; (v) broader adoption of best practices (scaling up, replication, mainstreaming and policy influence).

To achieve the above expected results, this project will strengthen partnership and synergies with organizations and initiatives and aim to act as an integrator and community-based partnership platform to effectively empower and benefit CSOs and local communities. The required resources will include the supervision and guidance from UNDP, the influence of UNDP and its international and national intellectual cooperation network, the project management and coordination experiences from GEF Small Grants Programme, the innovative ideas from NGOs and local

communities, the financial support of Vanke Foundation, the communication and administrative support by UNDP country office and the policy guidance of the related governmental departments at all levels. The implementation and management capabilities of grantee NGOs will be also required to achieve expected outcomes.

## **Partnerships**

### **GEF Small Grants Programme**

The Small Grants Programme (SGP) is a corporate programme of the Global Environment Facility (GEF) implemented by the United Nations Development Programme (UNDP) since 1992. SGP grant making in over 125 countries promotes community-based innovation, capacity development, and empowerment through sustainable development projects of local civil society organizations with special consideration for indigenous peoples, women, and youth. SGP has supported over 20,000 community-based projects in biodiversity conservation, climate change mitigation and adaptation, prevention of land degradation, protection of international waters, and chemicals and waste management, while generating sustainable livelihoods. The programme started in China in 2009 and has supported 141 NGO or Community-based Organization implemented projects in 26 provinces, autonomous regions, and municipalities in China.

### **Vanke Foundation**

Vanke Foundation is a corporate foundation endowed and supported by China Vanke Co., Ltd. Approved by the State Council, it was registered in 2008 with the Ministry of Civil Affairs. Vanke Foundation has been certificated as a charitable organization since 2017. As a visionary pioneer, Vanke Foundation addresses issues with a profound impact on the future, aims for sustainable communities, and promotes environmental protection and community development. Vanke Foundation employs the 'research-pilot-empower-advocate' method and the mindsets of people-orientation, partnership, and self-motivation to create a robust ecosystem for public good. It promotes the sustainable development of the communities and strives for an ecosystem where humans, society and nature can prosper in harmony via multiple ways including policy, legislation, businesses, international organizations, and grassroots forces. Currently, the foundation focuses on community waste management.

To achieve the above-mentioned success, investment from multiple stakeholders is required. A reasonable target community should be in a place with certain end-of-system of waste management, which is important for the investment in the existence, operation, and maintenance of relevant facilities in the city where the relevant stakeholders (municipal departments or any private waste treatment/transportation companies) are located, as well as the re-allocation of human resources from the original system. In addition, if seeking a new waste classification mechanism, the investment in the construction of recycling sites, the construction of intelligent facilities and the information platform, and the investment in any aspect of technological innovation in the whole process are needed. As said, promoting the concept of three R's of waste management -reduce, reuse, recycle- is an important goal of this project. The project will find best practices and innovative solutions in partnership with a network of strong and well-established NGOs that will support and motivate this agenda. It will also build human and institutional capacities within civil society, including foundations, NGOs, and other relevant stakeholders at the community level. Media is another important partner for awareness raising and public campaign on promoting the concept of 'zero waste community'. This project will also facilitate the NGOs to expand and build strong partnerships with multi-stakeholders towards sustainable waste management at community.

### **Risks and Assumptions**

The risks of the project are the response of the residents and the centralized disposal of wastes that are difficult for the community to deal with independently. People may be less interested in waste reduction and classification because this can create them inconvenience in their daily life, as they have to divide the waste into food waste, recyclable, hazardous and other categories, and may be required to discard it within the specified time. If they do not cooperate with the work of the



project, the waste classification cannot be carried out successfully. Therefore, the monitoring of waste discarding and recycling must be complete to avoid problems caused by the uncontrolled release of unclassified waste mixed with classified waste. There should also be certain rewards and subsidies for residents in the jurisdiction who participate in waste reduction and classification, coupled with enough publicity and education to cultivate the awareness of waste classification so that residents can benefit from it and be inspired to participate.

In addition, residents may not be able to distinguish other categories except the food waste, especially hazardous waste. As a result, hazardous waste may get mixed with other household wastes and be discarded, causing difficulties in waste recycling and harmless disposal. Therefore, the main hazardous wastes should be publicized in a conspicuous place, and people need to be clearly informed of the danger of hazardous wastes, what wastes should be classified as hazardous wastes, and where is the special sites that they should be sent.

For some hazardous wastes that are few and difficult to treat independently in communities, such as fluorescent tubes, the community is required to have a special community temporary storage system and a certificated department will transport it to a harmless processing plant.

### ***Stakeholder Engagement***

UNDP will support NGOs to take actions at community level. Vanke Foundation offer financial support and the GEF SGP China programme will provide technical support and management to this project which have big attraction for NGOs. The community residents, owner committee, neighbourhood committee, property company are important stakeholders who are under the guidance of NGO to do garbage sorting. Because of policy, they are mandated to join in garbage sorting. Then different level government, academic institutes, media and so on who provide policy support, professional knowledge and exposure will also participate.

To attract the important stakeholder groups, this project will introduce them to the detailed content of the project design, especially to the specific groups about the compliance, necessity, and the benefits they can obtain from it, and provide real-time feedback of the progress and results. For government departments and enterprises, this project must also actively negotiate response plans for some potential risks (such as residents not cooperating with waste classification, accidents during the production, operation and maintenance of facilities, leakage, or pollution in the disposal of hazardous waste in the community, etc.), and clarify the extended responsibilities.

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

The project results, best practices and know-how will be shared through GEF SGP's global network in over 125 countries, especially through SGP's Innovation Library. The project will try to build the link with UNDP south-south and triangular projects in developing countries as waste issue is common problem facing many other developing countries.

### ***Knowledge***

The benchmark communities of this project may serve as the model cases for the promotion of urban waste management and resource recycling across the country, resulting in a lesson learnt report or publication. The NGOs will also codify their management method so that other NGOs can learn from it quickly.

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

Achieving sustainability of project outcomes is central to this project. Project proponents are required to build measures into their project design that increase the likelihood of outcome sustainability, including through the development of an appropriate exit strategy. The screening of project proposals by the National Steering Committee (NSC) includes a systematic assessment of

whether such measures are sound and based on realistic assumptions. Project logical frameworks include outcome indicators that are monitored periodically. Project monitoring activities are designed to verify that initial assumptions hold, and that the required elements for outcome sustainability are in place. Most grants include a capacity development component and a sustainable livelihoods component to ensure that achievements will be sustained at the beneficiaries and community level. Proactive adaptive management is applied throughout the life of the projects by the National Coordinator (NC) who works with SGP grantees to take corrective action whenever there are indications that project outcomes may be compromised or may not be sustained after the project ends. SGP does not generally support the creation of new organizations, but rather strengthens existing CBOs and NGOs.

Although most communities continue applying acquired skills in their day-to-day work, this project ensures retention of new skills through various means: (i) inviting leaders or members of former grantee organizations to new training; (ii) using former SGP grantees as trainers for other communities and projects; (iii) establishing mentoring and peer-to-peer support among communities. Ultimately, the sustainability of SGP projects results from the strong ownership of the community or CSO grantee-partners to the actions taken and resulting outcomes and the empowerment of community and other stakeholders built in the process of project implementation.

With regards to scaling up, the innovations, best practices and know-how generated from this project have scaling up potential. This is because successful community-based projects are solutions that are relevant to a thousand-fold more communities under similar situations within the country of implementation, and across other countries. Community-based approaches are inherently more cost-effective in their utilization of existing resources and hitherto untapped resources thereby providing a good model for larger projects concerned with efficiency and sustainability. The highly consultative and participatory processes, including the direct access to funds, practiced in this project, can provide valuable lessons for larger government and donor programs. Notable too is the global reach of GEF SGP – 125 participating countries – which combined with good sharing systems, can scale up, mainstream, and replicate successful community projects.

Scaling up, as well as mainstreaming and replication, however, are processes that require a proactive approach and additional resources especially for communities and CSOs. This project's main role in the scaling up process is to demonstrate or showcase the successful innovation to a wider set of stakeholders, as well as to establish networks/linkages for pooling of effort and resources by various actors. At the portfolio level, SGP has utilized its NSCs, grantee-partner networks and allied CSO networks to have community innovations and successes recognized and adopted at the national level by policymakers.

The project is designed based on the concept of China's ecological civilization. The construction of its waste classification and reduction, and the resource-based recycling system also follows the national XIV Five-Year Plan's strategic demand for the nation to promote the green development. This also guarantee the policy support of project scaling-up at local, regional, and national level.

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## **IV. PROJECT MANAGEMENT**

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

The project would adopt community-based approaches/models, which are inherently cost-effective in their utilization of existing resources and to untapped resources thereby providing a good model for efficiency and sustainability. The consultative and participatory processes would provide direct access to funds, valuable lessons and solutions that are relevant to a more communities under similar situations within the areas of projects implementation.

## **Project Management**

### **Low value grants/small grants**

A key component of the project will be the disbursement of small grants for selected NGOs for capacity development in community waste management. The country office is currently implementing the GEF SGP project through UNDP direct implementation. The small grants funds administered under this project will utilize the same call for proposal, selection and disbursement processes followed by the GEF SGP under the guidance of the National Steering Committee (NSC).

Basic information of the low value grants:

1. **The total amount of the project budget that will be allocated to LVGs: 4.5million CNY**
2. **The maximum amount of each grant: 150,000USD.**
3. **The intended purpose of the LVGs that will be awarded through the project:** to build the capacities of China's NGOs to strengthen their waste management capabilities, with a view to supporting the country's recycling economy.
4. **The types of entities that will be eligible to be awarded a LVG through the project:** NGOs and CSOs.
5. **The process for soliciting and reviewing grant proposals, as well as authority for deciding which entities will receive LVGs from the project funds:** The project will mostly follow the standard process from the GEF-SGP, see Annex 5: Implementation and Administration of SGP Grants.
6. **The criteria that the LVG proposals will be assessed against** relevance of the action, design of the action, financial and operational capacity, sustainability of the action, and budget and cost-effectiveness of the action.

### **National Steering Committee (NSC)**

The NSC is convened with mutual commitment of the Government of China to promote capacity development of domestic NGOs and Community Based Organizations in the area of environmental protection. The NSC is composed of the following voluntary members from government, institutes, and local NGOs, which include UNDP, Ministry of Finance, National Forest and Grassland Administration, Foreign Environmental Cooperation Centre of Ministry of Ecology and Environment, Tsinghua University, Peking University, China Global Philanthropy Institute, Vanke Foundation, Conservation International China, and South China Sea Institute of Planning and Environment Research. NSC will guide selecting and approving small grant projects proposal, ensuring monitoring the technical and substantive quality of selected small grant projects, participating in project site visits, providing advice on small grant proposal reformulation or redesign if necessary and possible.

The NSC will follow the established practices at the country level for the small grant component of the project in accordance with SGP's global Strategic Framework. This will include disseminating information on the small grant opportunities through NSC member's own network and in general enhance visibility of the programme, and ensuring that participatory, democratic, impartial, and transparent procedures for small grant project review and approval as well as all other aspects of programme implementation.

The NSC meeting will be organized 1-2 times a year to select grantee project proposals and review the project progress. UNDP will enter into Low Value Grant Agreements with selected local NGO grantees in line with its rules and procedures based on the approval results of NSC meeting.

The governance structure and the management arrangements have been detailed out in section VIII of the project document.

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

<b>Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:</b> UNDP CPD Output #1 / UNSDCF Outcome 3: People in China and the region benefit from a healthier and more resilient environment											
<b>Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:</b> Output 2.2: Reduction at (subnational level) in greenhouse gas (GHG) emissions. In phase reduction in consuming of ozone depleting substance (ODS). Indicative Indicator 2.2.a: GHG/ODS emissions in target areas Output 2.4: Capacity of target government bodies enhanced to reduce environmental footprint at targeted areas Indicative Indicator 2.4: Number of public-private partnerships at targeted areas to advance sustainable low-carbon practices											
<b>Applicable Output(s) from the UNDP Strategic Plan: Outcome 2: Accelerate structural transformations for sustainable development</b>											
<b>Project title and Atlas Project Number: "Zero Waste" Community Development Project</b>											
EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>2</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year 5		FINAL
<b>Outcome 1: Zero waste community model established through multi-stakeholders' engagement</b>											
Output 1 Innovative community-based tools and approaches demonstrated, deployed and transferred to	1.1. the quantity of solid waste into the environment directly avoided through 3R's waste management principle during project cycle (2 years for each project)	Project baseline survey	0	2022	5%	10%	10%	10%	10%	10%	
	1.2. the rate of resident participation in community waste management	Project baseline survey	0	2022	50%	85%	85%	85%	85%	85%	

<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.

<sup>2</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

<p>achieve environmentally sound chemicals and waste management.</p> <p><b>Output 2</b> The waste management capacity of communities and local NGOs strengthened</p>	1.3 a safe temporary storage point for hazardous waste	Project baseline survey	0	2022	1	4	5	5	5	
	<p>2.1 Indicator: # direct project beneficiaries disaggregated by gender (individual people)</p> <p>2.2 Indicator: # indirect project beneficiaries disaggregated by gender (individual people)</p> <p>2.3 Indicator: the percentage of female participation</p> <p>2.4: Indicator: number of technical training received by NGOs/communities</p>	Project baseline survey	0	2022	1000	4000	5000	5000	5000	
		Project baseline survey	0	2022	5000	20000	25000	25000	25000	
		Project baseline survey	0	2022	>33%	>33%	>33%	>33%	>33%	
		Project baseline survey	0	2022	6	12	12	12	12	
<b>Outcome 2: NGOs/CBOs' project management capacities improved</b>										
<p>Output 1 NGOs capacity on project management improved</p>	Indicator 1.1: number of NGOs trained	Project baseline survey	0	2022	5	5	5	5		

Output 2 NGOs received project monitoring and evaluation for technical assistance and project adaptation management	Indicator 2.1: number of grantee M&E reports	0	2022	5		5	5	5	
	Project baseline survey								
	Indicator 2.2: number of field visits of NGOs' project site	0	2022	4		4	4	3	
	Project baseline survey								

## VI. MONITORING AND EVALUATION

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

### Monitoring Plan

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



<b>Project Report</b>	<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 long with mitigation measures, and any evaluation or review reports prepared over the period.</p>	Annually, and at the end of the project (final report)		
<b>Project Review (Project Board)</b>	<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>	At least annually	<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>	

**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
Terminal Evaluation	SP output 2.4.1	UNSDCF Outcome 3:	2026	Government partners, donor	SP output 2.4.1	50000CNY

## VII. MULTI-YEAR WORK PLAN

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated, and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4	Y5		Funding Source	Budget Description	Amount (CNY)
Outcome 1: Zero waste community model established through Small Grants Projects implemented by NGOs										
Output 1: Innovative community-based tools and approaches demonstrated, deployed, and transferred to achieve sound chemicals and waste management. Gender marker: GEN 2	1.1 Activity: Project proposals received from NGOs and Grant Agreements signed up with selected NGOs based on project application guidelines	600000	1080000	1200000	600000	120000	UNDP/SGP NSC	VF		3600000
Output 2: The waste management capacity of communities and local NGOs strengthened, Gender marker: GEN 2	1.2 Activity: Project proposals received from NGOs and Grant Agreements signed up with selected NGOs based on project application guidelines	150000	270000	300000	150000	30000	UNDP/SGP NSC	VF		900000
<b>Sub-Total for Outcome 1</b>		<b>750000</b>	<b>1350000</b>	<b>1500000</b>	<b>750000</b>	<b>150000</b>				<b>4500000</b>
Outcome 2: NGOs' capacities improved through UNDP support										
Output 1: NGOs capacity on project management improved Gender marker: GEN 2	2.1 Activity: capacity building to grantee NGOs on related topics, project management and financial management 2.2 Activity: Trainings/Workshops/Conference organised to share good practices/sustainable practices	13000	13000	13000			UNDP			39000
				6400	6400	6400	UNDP			19200

Output 2: NGOs received project monitoring and evaluation for technical assistance and project adaptation management  Gender marker: GEN 2	2.3 Activity: Technical Assistance (Expert, consultant, staff, and other HR cost)	6000	6000	6000	6000	120960	120960	120960	156516	UNDP	18000	
	Technical Assistance (Expert, consultant, staff, and other HR cost)	120960	120960	120960	120960	65000	65000	65000	65000	UNDP	640356	
	Project Monitoring, Evaluation, travel, and accommodation		65000	65000	65000	5800	5800	5800	5800	UNDP	260000	
	Miscellaneous	5800	5800	5800	5800				50000	UNDP	29000	
	Terminal evaluation								34697		444444	
	General Management Support (8%)	71661	124861	137373	75852							
	<b>Sub-Total for Outcome 2</b>	<b>217421</b>	<b>335621</b>	<b>354533</b>	<b>274012</b>	<b>318413</b>						<b>1500000</b>
	<b>TOTAL</b>	<b>967421</b>	<b>1685621</b>	<b>1854533</b>	<b>1024012</b>	<b>468413</b>						<b>6000000</b>

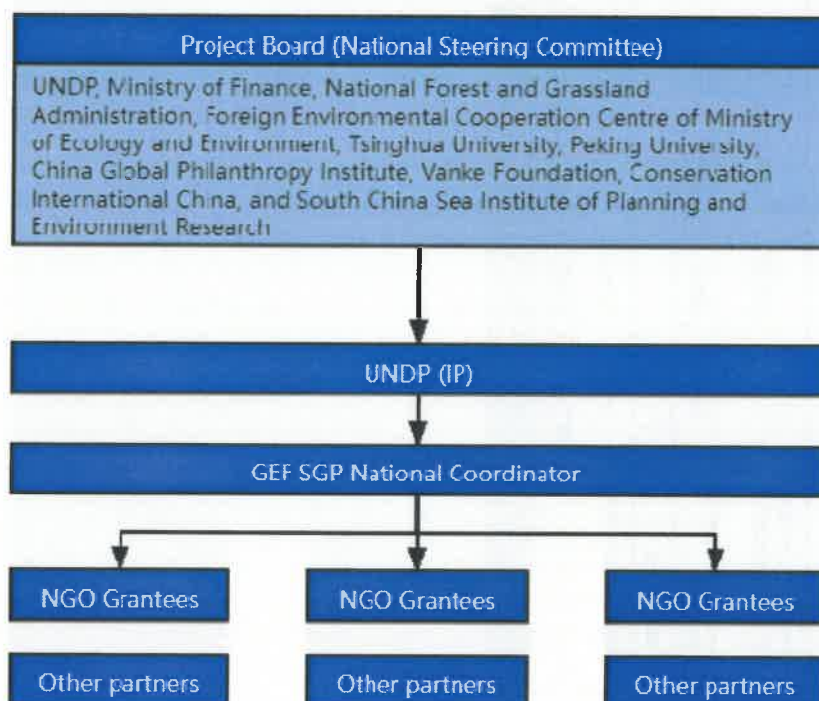
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## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project is **directly implemented by UNDP** under the guidance of the GEF SGP China National Steering Committee including Ministry of Finance, National Forest and Grassland Administration, Foreign Environmental Cooperation Centre of Ministry of Ecology and Environment, Government of China to provide services including procurement and/or capacity development services.

### I. Project Board (National Steering Committee)

The National Steering Committee (NSC) of SGP, comprising designated officials from UNDP, Ministry of Finance, National Forest and Grassland Administration, Foreign Environmental Cooperation Centre of Ministry of Ecology and Environment, Tsinghua University, Peking University, China Global Philanthropy Institute, Vanke Foundation, Conservation International China, and South China Sea Institute of Planning and Environment Research will function as the Project Board of this project.



**The NSC, co-chaired by Ministry of Finance and UNDP will carry out the following functions for this project:**

- Providing oversight to outputs and activities as set forth in this project document and approved annual work plan (AWP);
- Conducting project assurance review and ensuring UNDP's ultimate accountability;
- Taking corrective action as needed to ensure the project achieves the desired results;
- Selecting and approving grant proposal;
- Ensuring and monitoring the technical and substantive quality of selected grant projects;
- Participate in project site visits;
- Providing advice on proposal reformulation or redesign if necessary and possible;

- Reviewing the annual workplan of SGP- China.

## II. UNDP

**UNDP as the Implementing Partner assumes the full responsibility and accountability for the effective use of resources and the delivery of outputs, as set forth in such project document.** It will provide overall project oversight and take responsibility for standard project cycle management services beyond assistance and oversight of project design and negotiation, including project initiation, monitoring, periodic evaluations, troubleshooting, and reporting to the donor.

Project Assurance will be the responsibility of UNDP. It will support the NSC by carrying out objective and independent project oversight and monitoring functions. This role ensures that appropriate project management milestones are managed and completed. The assurance role will:

- Ensure the project is making progress towards intended outputs;
- Perform regular monitoring activities, such as periodic monitoring visits and spot checks;
- Ensure that resources entrusted to UNDP are utilized appropriately;
- Ensure that critical project information is monitored and updated
- Ensure that financial reports are submitted to UNDP on time, and that combined delivery reports are prepared and submitted to the NSC;
- Ensure that risks are properly identified, managed, and monitored on regular basis.

UNDP will enter into contracts with NGO grantees in line with its rules and procedures for providing goods and services to the project and keeping within the mandate of direct implementation of the project. UNDP will invite representative/s of Government to be part of the selection panel who will be a signatory to the selection report. UNDP will get the ToR approved by NSC with regard to technical specifications of services to be rendered for implementation of this project.

## III. GEF SGP National Coordinator

The GEF SGP National Coordinator will conduct the day-to-day management and implementation of the project. The Project Officer will be responsible for:

- Managing the above-mentioned activities of the project;
- Implementing activities by mobilizing goods and services.
- Checking on progress and watch for plan deviations; Monitoring progress and risks;
- Monitoring the progress regularly and reporting to the NSC;
- Ensuring that changes are controlled and problems addressed;
- Reporting on progress including measures to address challenges and opportunities.
- Coordinating the activities including the preparation of Annual and Quarterly Work Plans, Budget, Financial Reports, etc;
- Traveling to the field to provide hand-holding support to partners or attending training/ events etc.

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## **IX. LEGAL CONTEXT**

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of China and UNDP, signed on June 29, 1979. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP, China 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**

### **UNDP (DIM)**

1. UNDP as the Implementing Partner will comply with the policies, procedures, and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds 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). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.
6. 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.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:
  - a. Consistent with the Article III of the SBAA *[for the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor, and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

- i. 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;
  - ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
- b. 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 responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
- c. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.
- d. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, or corruption, by its officials, consultants, subcontractors, and sub-recipients in implementing the project or programme or using the UNDP funds. It 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.
- e. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor, and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient 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).
- f. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', 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 it to find a solution.
- g. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- h. *Choose one of the three following options:*

*Option 1:* UNDP will be entitled to a refund from the responsible party, subcontractor, or sub-recipient 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 this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's, or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient 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 such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

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

- i. Each contract issued by the responsible party, subcontractor, or sub-recipient 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 it shall cooperate with any and all investigations and post-payment audits.
- j. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, 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.
- k. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.



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## **XI. ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Report**
- 3. Risk Analysis**
- 4. Project Board Terms of Reference and TORs of key management positions**
- 5. Implementation and Administration of SGP Grants**

## Annex 1. Project Quality Assurance Report

<b>PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL</b>					
<b>OVERALL PROJECT</b>					
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.	
<b>DECISION APPROVE</b>					
<ul style="list-style-type: none"> <li>• <b>APPROVE</b> – the project is of sufficient quality to be approved in its current form. Any management actions must be addressed in a timely manner.</li> <li>• <b>APPROVE WITH QUALIFICATIONS</b> – 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.</li> <li>• <b>DISAPPROVE</b> – the project has significant issues that should prevent the project from being approved as drafted.</li> </ul>					
<b>RATING CRITERIA</b>					
For all questions, select the option that best reflects the project					
<b>STRATEGIC</b>					
<p><b>1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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.</li> <li>• <b>2:</b> 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.</li> <li>• <b>1:</b> 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.</li> </ul> <p><i>*Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.</i></p> <p><b>Evidence:</b> The document summarizes the preliminary results of the project, accurately analyses the development challenges, sets the expected results, and outputs/activities to achieve the project results. Such as, waste reduction, volunteer team formation, resource utilization of kitchen waste, harmless treatment of hazardous waste.</p>				3 ✓	2
				1	
				Evidence Note in the lower left	

<p><b>2. Is the project aligned with the UNDP Strategic Plan?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The project responds to at least one of the development settings as specified in the Strategic Plan<sup>3</sup> and adapts at least one Signature Solution<sup>4</sup>. The project's RRF includes all the relevant SP output indicators. <i>(all must be true)</i></li> <li><b>2:</b> 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. <i>(both he must be true)</i></li> <li><b>1:</b> 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.</li> </ul> <p><b>Evidence:</b> The project responds to UNDP's 2018-2021 Strategic Plan: b) Accelerate structural transformations for sustainable development and adapt to Signature Solutions of UNDP's 2018-2021 Strategic Plan: d) Promote nature based solutions for a sustainable planet; f) Strengthen gender equality and the empowerment of women.</p>	3 ✓	2
	1	
	Evidence Note in the lower left	
<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>Linked to CPD Outcome 2</p>	Yes ✓	No
<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><b>Evidence:</b> The project aims to improve capacity of NGOs in building "zero waste" community in mobilizing the public and communities with women as the key volunteer group to implement garbage sorting.</p>	3✓	2
	1	
	Evidence Note in the lower left	
<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><b>Evidence:</b> UNDP as the Implementing Partner assumes the full responsibility and accountability for the effective use of resources and the delivery of outputs, as set forth in such project document. It will provide overall project oversight and take responsibility for standard project cycle management services beyond assistance and oversight of project design and negotiation, including project initiation, monitoring, periodic evaluations, troubleshooting, and reporting to the donor.</p>	3✓	2
	1	
	Evidence Note in the lower left	

<sup>3</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>4</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.

<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><b>*Note:</b> Management Action or strong management justification must be given for a score of 1</p> <p><b>Evidence:</b> The project is obviously conducive to UNDP in promoting sustainable development, including promoting environmental sustainability and accelerating progress in the field of climate change and sustainable development. This is essential to achieve the expected results of project implementation, and it will also ensure project results and impact at the global level. UNDP can also help pilots refine their best practices and promote them among national, regional and international development partners. Convening capabilities and global influence are also UNDP's unique advantages.</p>	<table border="1"> <tr> <td>3</td> <td>2√</td> </tr> </table>	3	2√
3	2√		
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1			
	<p><b>Evidence</b></p> <p>Note in the lower left</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><b>*Note:</b> Management action or strong management justification must be given for a score of 1</p> <p><b>Evidence:</b> This project supports NGO and local communities for sound waste management, which will enhance their health and living environment.</p>	<table border="1"> <tr> <td>3√</td> <td>2</td> </tr> </table>	3√	2
3√	2		
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1			
	<p><b>Evidence</b></p> <p>Note in the lower left</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><b>*Note:</b> Management Action or strong management justification must be given for a score of 1</p> <p><b>Evidence:</b> The expected results of gender has been described in the RESULT FRAMEWORK sections.</p>	<table border="1"> <tr> <td>3√</td> <td>2</td> </tr> </table>	3√	2
3√	2		
	<table border="1"> <tr> <td colspan="2">1</td> </tr> </table>	1	
1			
	<p><b>Evidence</b></p> <p>Note in the lower left</p>		

<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><i>*Note: Management action or strong management justification must be given for a score of 1</i>  <b>Evidence: The project will address waste reduction, reuse and recycling towards a sustainable environmental management and contribute to human health through sound hazardous waste management.</b></p>	<table border="1"> <tr> <td>3√</td> <td>2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;"><b>Evidence</b></td> </tr> <tr> <td colspan="2" style="text-align: center;">Note in the lower left</td> </tr> </table>	3√	2	1		<b>Evidence</b>		Note in the lower left	
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<b>Evidence</b>									
Note in the lower left									
<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>	<table border="1"> <tr> <td>Yes</td> <td>No</td> </tr> <tr> <td>√</td> <td></td> </tr> </table>	Yes	No	√					
Yes	No								
√									
<b>MANAGEMENT &amp; MONITORING</b>									
<p><b>11. Does the project have a strong results framework?</b></p> <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><i>*Note: Management Action or strong management justification must be given for a score of 1</i>  <b>Evidence: The results framework and planned output of the project are supported by SMART indicators.</b></p>	<table border="1"> <tr> <td>3√</td> <td>2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;"><b>Evidence</b></td> </tr> <tr> <td colspan="2" style="text-align: center;">Note in the lower left</td> </tr> </table>	3√	2	1		<b>Evidence</b>		Note in the lower left	
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<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><i>*Note: Management Action or strong management justification must be given for a score of 1</i>  <b>Evidence: The project's governance mechanism is fully defined in project document. The information of Project board is in part VIII.</b></p>	<table border="1"> <tr> <td>3√</td> <td>2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;"><b>Evidence</b></td> </tr> <tr> <td colspan="2" style="text-align: center;">Note in the lower left</td> </tr> </table>	3√	2	1		<b>Evidence</b>		Note in the lower left	
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<b>Evidence</b>									
Note in the lower left									

<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><i>*Note: Management Action must be taken for a score of 1</i></p> <p><b>Evidence: Potential risks are identified and can be indexed in the risk log in Annex 3 of the project file.</b></p>	3V	2
1		
<b>Evidence</b> Note in the lower left		
<b>EFFICIENT</b>		
<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><b>Evidence: this project will use SGP modality to implement, which has been improved cost-efficient in the past 12 years with voluntary NSC contribution and local NGOs' advantage of saving cost by reducing travel.</b></p>	Yes (3) √	No (1)
<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><b>Evidence: The project budget has been refined in the five-year work plan, and reasonably allocated according to the expected activities.</b></p>	3V	2
1		
<b>Evidence</b> Note in the lower left		

<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><i>*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.</i></p> <p><b>Evidence:</b> It is a DIM project and all the costs have been covered by the donation from the donor.</p>	3√	2
1		
<b>Evidence Note in the lower left</b>		
<b>EFFECTIVE</b>		
<p><b>17. Have targeted groups been engaged in the design of the project?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> 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><b>2:</b> Some evidence that key targeted groups have been consulted in the design of the project.</li> <li><b>1:</b> No evidence of engagement with targeted groups during project design.</li> </ul> <p><b>Evidence:</b> The project aims to build "Zero Waste" Community which means the targeted group, the residence, needs to develop the habit of garbage sorting. Their behavior change is being monitored and the amount of garbage reducing is being assessed.</p>	3√	2
1		
<b>Evidence Note in the lower left</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>	Yes (3) √	No (1)
<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><i>*Note: Management Action or strong management justification must be given for a score of "no"</i></p> <p><b>Evidence:</b> Promote women's participation in community volunteering team, achieving one-third participation rate. Strengthen women's knowledge of garbage sorting, increase women's awareness of environmental protection, and provide capacity building support for women's participation. These activities are included in the project document.</p>	Yes (3) √	No (1)
<b>Evidence Note in the lower left</b>		
<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><b>3:</b> 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><b>2:</b> The project has been developed by UNDP in close consultation with national/regional/global partners.</li> <li><b>1:</b> The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul> <p><b>Evidence:</b> The project has been designed in consultation with national authorities through SGP's National Steering Committee.</p>	3√	2
1		
<b>Evidence</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>• <b>3:</b> 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>• <b>2:</b> 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>• <b>1:</b> Capacity assessments have not been carried out.</li> </ul> <p><b>Evidence:</b> SGP country programme strategy includes strategy for capacity building. This project also aims to strengthen the capacities of NGOs, governmental department national wide.</p>	3 ✓	2
	1	
	<b>Evidence</b>	
<p><b>22. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?</b></p>	Yes (3) ✓	No (1)
<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>	Yes (3) ✓	No (1)



## Annex 2. Social and Environmental Screening Template (2021 SESP Template, Version 1)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

### Project Information

Project Information	
1. Project Title	"Zero Waste" Community Development Project
2. Project Number (i.e. Atlas project ID, PIMS+)	00130188 (output ID)/00141652 (award ID)
3. Location (Global/Region/Country)	China
4. Project stage (Design or Implementation)	Implementation
5. Date	

## 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**

Waste released to environment, especially extremely perishable organic garbage, and heavily polluted hazardous garbage, will cause serious harm to human health and the surrounding soil and water sources. The project will reduce waste pollution through reducing, reusing, and recycling principle of sound waste management at community level, so that it can reduce the risk of exposure to toxic substances and soil and water pollution. Healthy living condition and clean environment is basic human rights, which is the fundamental objective of this project.

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

The project will provide organization support for encouraging women to participate in supervision of "Zero Waste" Community Programme through establishing volunteer teams; improve the project's operating mechanism for creating opportunities for women's participation; and strengthen women's knowledges of community management for garbage sorting and their awareness of environmental protection and supporting the capacity building of women's participation. Meanwhile, the project will also provide desired training on gender mainstreaming project management for relevant project management staffs to enhance their gender equality awareness. In addition, the project will further incorporate the relevant indicators of gender equality into the project evaluation index system to ensure that women can participate in the project activities equally and benefit from them.

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

The project will mainstream sustainability and resilience. Through supporting NGOs' work of promoting garbage sorting in community, it aims to reduce, reuse and recycle waste which can save energy and materials, produce clean biomass energy and organic fertilizer, as well as reduce CO2 emissions. Thus, enhance sustainability and resilience.

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

The project will provide management method and financial support for NGOs to improve their capabilities through promote community autonomy in garbage sorting. Meanwhile, the project will improve community environment and enhance residents' awareness of sustainable development.

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

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>	QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
<b>Risk Description (broken down by event, cause, impact)</b>	<b>Impact and Likelihood (1-5)</b>	<b>Description of assessment and management measures for risks rated as Moderate, Substantial or High</b>
<b>Risk 1:</b> The impacted community may show low interest and reluctance, resulting in low engagement.	I = 2 L = 2  Low	The central government and many local governments already enacted waste sorting regulations and policies which is the cornerstone of this project to facilitate community waste reduction and calcification. And also the project will take a bottom-up approach to support NGOs that closely work with the local communities on awareness raising and behavioural change to boost their participation.
<b>Risk 2:</b> Release of undesirable substance due to inappropriate handling of the waste throughout the project activities implementation.	I = 4 L = 1  Low	The project will provide training on the health and environmental risk of hazardous waste to draw people's attention. And also, one of the project objectives is to build local community's capacity on hazardous waste identification, collection and building the temporary storage system so that the stored hazardous waste can be transported by certificated department to a harmless processing plant.
[add additional rows as needed]		
QUESTION 4: What is the overall project risk categorization?		
<b>Low Risk</b> <input checked="" type="checkbox"/>		
<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				Status? (completed, planned)
<b>Is assessment required? (check if "yes")</b>	<input type="checkbox"/>			
<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>Are management plans required? (check if "yes")</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>Based on identified risks, which Principles/Project-level Standards triggered?</b>				<b>Comments (not required)</b>
<b>Overarching Principle: Leave No One Behind</b>				
<b>Human Rights</b>	<input type="checkbox"/>			
<b>Gender Equality and Women's Empowerment</b>	<input type="checkbox"/>			
<b>Accountability</b>	<input checked="" type="checkbox"/>			
<b>1. Biodiversity Conservation and Sustainable Natural Resource Management</b>	<input type="checkbox"/>			
<b>2. Climate Change and Disaster Risks</b>	<input type="checkbox"/>			
<b>3. Community Health, Safety and Security</b>	<input checked="" 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 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

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

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?	No
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? <sup>5</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?	No
P.11	limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	No
<b>Sustainability and Resilience:</b> Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		

<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>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?	Yes
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?	No
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>6</sup>	No
1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) <sup>7</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>	
2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunamis or volcanic eruptions?	No

<sup>6</sup> See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

<sup>7</sup> See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	No
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
<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)?	Yes
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>		
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>8</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>		
7.1	working conditions that do not meet national labour laws and international commitments?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	No
<b>Standard 8: Pollution Prevention and Resource Efficiency</b>		
<i>Would the project potentially involve or lead to:</i>		

<sup>8</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.



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

### Annex 3. Offline Project Risk Register Template

Project Title: 'Zero Waste' Community Development Project		Project Number: 00130188 (output ID)/00141652 (award ID)		Date:					
#	Event	Cause	Impact(s)	Risk Category	Impact and Likelihood = Risk Level	Risk Management Measures	Risk Owner	Risk From/To	Valid
	Enter a brief description of the potential future event. The occurrence or change of a particular set of circumstances. An event can be one or more occurrences, several causes, and can consist of something not happening.	Enter a brief description of what could cause the potential event.	Enter a brief description of the potential impact of the event. The totality of all effects of an event affecting objectives.	Social and Environmental Financial Operational Organizational Political Regulatory Strategic Safety and Security  Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information)  <i>(In Atlas, select from list)</i>	Describe the potential effect on the project if the future event were to occur.  Enter <b>likelihood</b> based on 1-5 scale (1 = Not likely; 5 = Expected)  Enter <b>impact</b> based on 1-5 scale (1 = Negligible; 5 = Extreme)  Based on Likelihood and Impact, use the Risk Matrix to identify the Risk Level (High, Substantial, Moderate or Low)	What actions have been taken/will be taken to manage this risk. Who is responsible for treatment and status of treatment.  Each risk can have multiple treatment measures.  <i>(In Atlas, use the "Treatment(s)" box. This field can be modified at any time. Create separate boxes as necessary using "+" for instance to add additional treatment measures.</i>	The person or entity with the responsibility to manage the risk.	Enter dates for when the risk is valid. Update as needed.	
1	Project delay may be caused by the Covid 19 epidemic	Unpredictable outbreak of the Covid 19 epidemic	The suspension of publicity in campaign communities by NGOs	Operational	Moderate  I = 2 L = 4	-Instead of holding large-scale publicity activities, a door to door visit is adopted. - Communication, seminars and assessment will be conducted through remote meeting	UNDP	Ongoing	

2	Community people may be less interested or reluctant in waste reduction and classification	Waste reduction and classification may bring inconvenience for their daily life	The residents participation rate may be low and may impact the indicators of amount of reduced waste	Social and Environmental	Low I=2 L=2	- Continuous awareness raising on government's waste sorting regulations and policies - taking a bottom-up approach to support NGOs that closely work with the local communities on awareness raising and behavioural change -The main objective of this project is to empower the local community and enhance their capacity on sound waste management. -The project will provide hands-on capacity building on waste classification and necessary skills and facilities on waste sorting, especially hazardous waste management.	NGO grantee	Ongoing
3	Community people lack of capacity distinguishing different categories of waste, especially hazardous waste.	The categories of wastes are too many to identify. Community may don't know hazardous waste.	Lack of knowledge of waste categories will impact the waste sorting rate and eventually impact the waste recycling and sound treatment.	Social and Environmental	Low I=3 L=3		NGO grantee	Ongoing
4	Release of hazardous waste	The hazardous waste may be released to environment if it's improperly collected and stored.	Harmful to human health and the environment	Safety and Security	Moderate I=4 L=1	-Providing training on the health and environmental risk of hazardous waste to draw people's attention. - Confirming that this is a safe temporary storage point -Preparing emergency kit	NGO grantee	Ongoing



## **Annex 4. GEF Small Grant Programme in China Terms of Reference for National Steering Committee**

### **1. Objectives**

The National Steering Committee (NSC) is created in line with the mutual commitment of the Government of China and the funding agency and International Executing Agency, namely Global Environment Facilities and UNDP, to an integrated approach and increased cooperation in promoting capacity development of domestic NGOs and Community Based Organizations in area of GEF focal areas including biodiversity, international waters, climate change, land degradation, chemical and waste.

### **2. Composition**

The NSC is composed of nine voluntary members, including three government members, five non-government members and one UNDP member.

The three government members include: Ministry of Finance, FECO of Ministry of Environmental Protection and State Forest Administration, five non-government members include academics, research institutes and non-government organizations. There is another member from UNDP Country Office.

There is a balance between individual and institutional representation on the NSC. While certain institutions (including MOF, FECO, SFA and UNDP CO) must be included in the NSC, members should also be chosen who as individuals would contribute significantly to the committee and the programme.

### **3. Tenure**

The NSC will be co-chaired by representatives from Ministry of Finance and UNDP China respectively. Under the NSC, National Coordinator will look after day-to-day coordination and communication, and administration of the SGP.

NSC members serve for a period of three years, with a possibility of one-time renewal. Term of appointment of NSC member would be no more than two terms in a consecutive manner, unless approved by the SGP Global Manager on an exceptional basis. In general, periodically inviting new members can bring new ideas and expertise to programme implementation. However, changing the entire membership at one time should be avoided.

The NSC will review its Terms of Reference each year and may revise them for the remaining duration of the NSC.

### **4. Functions and Duties**

The SGP National Steering Committee (NSC) serves as the main decision-making body of the SGP at the country level, and provides overall oversight, guidance, and direction to the Country Programme.

The NSC member's principal roles include the following:

- Provide overall guidance and strategic direction of the Country Programme, including the development, implementation, and periodic review and revision of the SGP Country Programme Strategy (CPS).
- Review and approve projects in alignment with the CPS following participatory, democratic, impartial, and transparent procedures in line with the SGP Operational Guidelines and Standard Operating Procedures.
- Provide technical support to project oversight and implementation at the country level in accordance with the SGP Project Document for the operational phase, including project monitoring and evaluation (e.g., field visits).
- Link the SGP operations to the relevant global, regional, and national policies and strategies of the GEF and other third-party co-financing.
- Support partnership development and resource mobilization efforts for the SGP at project and country levels.
- Support scaling up efforts to mainstream SGP lessons learned and successes in national development planning and policymaking.

#### **5. Remuneration**

Participation in the NSC is without monetary compensation. Travel expenses for project site visits or to NSC meetings can be covered by SGP Country Operational Budget.

#### **6. Member's profile**

- who has a biding interest and commitment to working with communities
- who shares a vision of what sustainable development and 'thinking globally, acting locally' might mean in terms of linking the GEF focal areas with local needs and concerns
- who is the experts in one of the fields of biodiversity, climate change, international waters, sustainable land management and chemical and waste management
- who can contribute expertise on poverty reduction and local empowerment in the process of achieving effective environmental management
- who is experienced in participatory approaches and methodologies
- who has potential policy linkage and fundraising contribution

#### **7. Organization of NSC meetings**

- NSC meeting is called by the National Coordinator (NC) at least 1-2 times in a year.
- NSC is called for discussing the proposals for funding of projects.
- NSC meetings are called upon written invitations by the NC, which are sent to the NSC members not later then 15 working days before the meeting.
- The written invitations obligatory include full documentation on all proposals for funding under SGP to be considered in electronic form. Upon request the proposals may be provided in hard copy by the NC.
- Every NSC member is obliged to fill Proposal Evaluation Form for each of the proposals for funding under SGP and send it to NC by fax, e-mail or in the SGP office not later then 4 working days before the meeting.
- Signed evaluation forms for each proposal should be provided to the NC in the meeting day.

- The place, date, hour and the agenda of each meeting are defined by the NC via prior consultation with the NSC members.
- Changes in the agenda of a NSC meeting may be proposed by each NSC member within 5 working days after the receipt of the invitation.
- Changes in the agenda of a NSC meeting may be proposed at NSC meeting by each NSC member and are adopted with a decision of the NSC.
- The entire communication and documentation related to the work of NSC is conducted in English or Chinese.
- NSC meeting is taking place and is legitimate in at least 7 NSC members attend it.
- The opinion of the permanent and specialized NSC members of NSC who are not present at the meeting is provided to all NSC members by the NC.
- Minutes reflecting the decisions taken are produced for each NSC meeting
- The minutes are written by designated person and are signed by the NC
- The minutes are adopted by all NSC members who attended the meeting at the end of the meeting.
- NC sends the minutes of each meeting to all NSC members not later than 5 working days after its adoption.
- Other communications with NSC members will be taken by conference call, telephone or email.

#### ***8. Objectivity and Credibility principle***

In general, no NSC member should participate in the review or approval of any project proposal in which s/he, or an organization with which s/he is associated, has a financial or personal interest.

Members of the NSC are accountable for their participation on the NSC through the normal reporting structures of their organizations and reporting line determined by the NSC.

Project approval is under the principle of consensus. When major disagreement or divergence arises at the NSC, the members may consult with their organizations for direction or guidance. Should the NSC be unable to resolve an issue through negotiation among the members, dispute settlement will be subject to decision of the NSC co-chairs.

The NSC will be co-chaired by MOF and UNDP China.

## **Annex 5. Implementation and Administration of SGP Grants**

Each SGP Country Programme prepares and issues a call for proposals on a regular basis in line with the approved SGP project document. Information in the call for proposals should clearly state that the SGP makes grants to eligible CSOs and NGOs, on specific thematic and geographic focuses with a maximum grant amount of US\$150,000.

The process for 'call for proposals' should take place in a transparent manner covering the: (i) project preparation guidelines setting forth the eligibility criteria; (ii) application/proposal review process and calendar; (iii) templates for project concept and proposal development, and; (iv) co-financing requirements in cash and/or in-kind.

SGP provides grants in a strategic manner to support activities that help achieve the objectives outlined in the project document. Each project should also determine measurable contribution to one or more of the results indicators and targets in the project document. To create sustainability and impact beyond the project, SGP projects can combine demonstration, capacity-building, network building, awareness raising, and dissemination of lessons learned as integral components. Given this comprehensive approach, a simple results framework and monitoring work plan are required for each proposal.

As a demand-driven programme, SGP projects endeavour to address both the GEF criteria, as well as community needs and initiatives. The SGP usually works with communities and localities that confront a multitude of social and economic development problems that impact on concerns related to global environment. For SGP interventions to have relevance and utility at the community level, these socio-economic issues are considered in the project design. A key guiding philosophy of the programme has been to promote social inclusion and reach the marginalized poor and vulnerable communities, especially when other support is limited, and where development baseline conditions have not been met. Typically, the SGP will need to mobilize additional resources to help provide the co-financing, technical assistance, capacity building, gender and socio-economic activities, or whatever non-GEF element may be necessary for a project's success. These project components are vital to achieving local acceptance, ownership, and sustainability of SGP interventions.

Project concepts from eligible CSOs/NGOs may be screened by the NC or jointly with the NSC. The NSC should determine which screening modality it will follow, and periodically review this decision to make sure that the modality chosen is working well. In all cases, project proposal selection should be done on the basis of established eligibility and selection criteria in accordance with the Project Document. The NSC should be informed on the long list of all project proposals that have been submitted and screened. At the minimum, project proposals should identify concrete results that are relevant to the outcomes in the project document and reflect the needs of the community or communities and/or stakeholders that would be involved. Once the proposals have been selected, the proponent organizations will be notified of this decision.

