

# Design & Appraisal Stage Quality Assurance Report

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**Form Status: Under Review**

<b>Overall Rating:</b>	Satisfactory
<b>Decision:</b>	Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
<b>Portfolio/Project Number:</b>	00122818
<b>Portfolio/Project Title:</b>	Agenda de cumplimiento de Contribuciones Nacionalmente
<b>Portfolio/Project Date:</b>	2020-05-08 / 2021-12-31

**Strategic****Quality Rating: Highly Satisfactory**

1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?

- ☒ 3: The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.
- ☒ 2: *The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.*
- ☐ 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.

**Evidence:**

El proyecto cuenta con una teoría de cambio claramente definida, que vincula estrategias de sensibilización y comunicación, diálogo técnico y político, fortalecimiento de capacidades multinivel, establecimiento de alianzas y participación del SNU para atender a la solución de problemas nacionales y a la vez contribuir a mejorar las condiciones para un desarrollo sostenible a nivel global.

**List of Uploaded Documents**

#	File Name	Modified By	Modified On
1	ToCNDC_11062020_5558_101 ( <a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/ToCNDC_11062020_5558_101.pptx">https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/ToCNDC_11062020_5558_101.pptx</a> )	nancy.argueta@undp.org	6/26/2020 1:13:00 AM

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

- ☐ 3: The project responds to at least one of the development settings as specified in the [Strategic Plan<sup>1</sup>](#) and adapts at least one [Signature Solution<sup>2</sup>](#). The project's RRF includes all the relevant SP output indicators. (all must be true)
- ☐ 2: *The project responds to at least one of the development settings as specified in the [Strategic Plan<sup>4</sup>](#). The project's RRF includes at least one SP output indicator, if relevant. (both must be true)*
- ☐ 1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

**Evidence:**

Este proyecto se alinea con el output 1.2.2 de Plan Estratégico de PNUD (2018-2021), que se orienta a generar un ambiente propicio para expandir el financiamiento público y privado para lograr los ODS. También contribuye al output 1.1.1, que pretende el fortalecimiento de capacidades de los gobiernos para integrar la Agenda de Desarrollo Sostenible 2030, el Acuerdo de París y otros acuerdos internacionales en planes de desarrollo y presupuestos, y analizar el progreso de los ODS utilizando soluciones innovadoras basadas en datos y evidencia.

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No documents available.			

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)

- ☒ Yes
- ☐ No

**Evidence:**

El proyecto da respuesta al Efecto 4 del CPD del PNUD: la población es resiliente ante los desastres, la degradación ambiental y los efectos negativos del cambio climático, contribuyendo directamente a los outputs 4.3 y 4.5: alianzas intersectoriales a nivel nacional y local son creadas para fortalecer la adaptación al cambio climático y la reducción de riesgo de desastres; y sectores clave del país han incrementado sus capacidades para el acceso al financiamiento climático.

En el contexto del Marco de Asistencia de las Naciones Unidas para el Desarrollo (MANUD, 2016-2020), el proyecto está vinculado con el efecto de desarrollo 4: la población y las personas más vulnerables y excluidas han aumentado sus capacidades resilientes ante los desastres, la degradación ambiental y los efectos negativos del cambio climático.

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No documents available.			

**Relevant****Quality Rating: Highly Satisfactory**

4. Do the project target groups leave furthest behind?

- 3: The target groups are clearly specified, prioritising discriminated, and marginalized groups left furthest behind, identified through a rigorous process based on evidence.
- 2: *The target groups are clearly specified, prioritizing groups left furthest behind.*
- 1: The target groups are not clearly specified.

**Evidence:**

El proyecto contempla la participación de mujeres y jóvenes en los procesos de diálogo, consulta y formulación de planes sectoriales NDC. Indicadores específicos se han incorporado en el proyecto para medir el nivel de participación en diversos espacios, así como el grado en que los planes sectoriales elaborados contribuirían a reducir brechas de equidad.

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No documents available.

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

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

**Evidence:**

El proyecto retoma lecciones aprendidas sobre experiencias previas en diálogo, así como asesorías y asistencia técnica en metodologías para el etiquetado de gastos y presupuestos con enfoque de cambio climático, tanto a nivel local como regional.

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6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national / regional / global partners and other actors?

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

**Evidence:**

El proyecto integra fondos disponibles (UNDP Climate Promise y NDC Support) a fin de alinear, bajo un mecanismo coordinado, la participación de PNUD y otros socios en el esfuerzo por reforzar la ambición, concretar las metas y acelerar el cumplimiento de las NDC.. En adición, el esquema de gobernanza propuesto de co-liderazgo entre MARN y MH permitiría articular esfuerzos entre diversos actores nacionales, que a su vez se vinculan con otros socios.

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No documents available.			

## Principled

Quality Rating: **Satisfactory**

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

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

## Evidence:

No se identificaron impactos adversos en el área de recursos humanos.

## List of Uploaded Documents

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No documents available.			

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

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



**Evidence:**

El proyecto incorpora elementos básicos de análisis de género para asegurar la participación de mujeres en los diversos espacios de diálogo técnico. De igual manera, establece indicadores específicos a nivel de producto que permitirían evaluar la medida en que los diversos instrumentos o planes sectoriales contribuyen a reducir brechas de igualdad.

**List of Uploaded Documents**

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No documents available.			

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

- ☒ 3: Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true)
- ☒ 2: *The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. (both must be true)*
- ☐ 1: Sustainability and resilience dimensions and impacts were not adequately considered.

**Evidence:**

Las dimensiones de sustentabilidad y resiliencia son inherentes a la agenda climática y a la intención de reforzar y concretar metas NDC, que constituyen el objetivo del proyecto. El proyecto se enfocará principalmente en la incidencia sobre la agenda NDC, en la formulación de planes sectoriales y en la identificación de mecanismos para acceder al financiamiento climático. No se identificaron daños o efectos adversos en términos ambientales.

**List of Uploaded Documents**

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No documents available.			

10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]

- ☒ Yes
- ☐ No
- ☐ SESP not required because project consists solely of (Select all exemption criteria that apply)
- ☐ 1: Preparation and dissemination of reports, documents and communication materials
  - ☐ 2: Organization of an event, workshop, training
  - ☐ 3: Strengthening capacities of partners to participate in international negotiations and conferences
  - ☐ 4: Partnership coordination (including UN coordination) and management of networks
  - ☐ 5: Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes)
  - ☐ 6: UNDP acting as Administrative Agent

**Evidence:**

No se identificaron impactos sociales o ambientales adversos.

**List of Uploaded Documents**

#	File Name	Risk Category	Risk Requirements	Document Status	Modified By	Modified On
1	<a href="http://intranet.undp.org/apps/ProjectQA/Forms/DocumentUpload/ANEXO3_SESSION_5558_110.docx">ANEXO3_SESSION_5558_110 (http://intranet.undp.org/apps/ProjectQA/Forms/DocumentUpload/ANEXO3_SESSION_5558_110.docx)</a>	Low		Final	nancy.argueta@undp.org	6/26/2020 1:46:00 AM

**Management & Monitoring****Quality Rating:** Satisfactory

11. Does the project have a strong results framework?

- 3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. (all must be true)
- 2: *The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)*
- 1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. (if any is true)

**Evidence:**

Los outputs del proyecto presentan indicadores SMART. Algunas fuentes de verificación deberán ser precisadas oportunamente.

**List of Uploaded Documents**

#	File Name	Modified By	Modified On
No documents available.			

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

- 3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true)
- 2: *The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)*
- 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

**Evidence:**

Ver Sección VIII, Arreglos de Gestión y Gobernancia, del documento de proyecto, que identifica integrantes y roles de la Junta de Proyecto, así como funciones generales de la coordinación del proyecto.

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No documents available.			

13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?

- 3: Project risks related to the achievement of results are fully described in the project risk 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, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. (both must be true)
- 2: *Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.*
- 1: Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

**Evidence:**

Se han identificado una serie de riesgos operacionales, organizacionales y políticos para el proyecto, así como sus medidas de mitigación. Estos, sin embargo, no han implicado procesos extensos de consulta.

**List of Uploaded Documents**

#	File Name	Modified By	Modified On
1	<a href="https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/ANEXO2_Riesgos_5558_113.docx">ANEXO2_Riesgos_5558_113 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/ANEXO2_Riesgos_5558_113.docx)</a>	nancy.argueta@undp.org	6/26/2020 2:14:00 AM

**Efficient****Quality Rating: Highly Satisfactory**

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.

- ☒ Yes
- ☐ No

**Evidence:**

El proyecto establece sinergias entre intervenciones y fondos complementarios para asegurar el uso eficiente de los recursos.

**List of Uploaded Documents**

#	File Name	Modified By	Modified On
No documents available.			

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

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

**Evidence:**

El proyecto está respaldado con recursos de UNDP Climate Promise y NDC Support.

**List of Uploaded Documents**

#	File Name	Modified By	Modified On
No documents available.			

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

- 3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)
- 2: *The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.*
- 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

**Evidence:**

El presupuesto contempla la recuperación de costos.

**List of Uploaded Documents**

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No documents available.			

**Effective****Quality Rating: Satisfactory**

17. Have targeted groups been engaged in the design of the project?

- ☒ 3: Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)
- ☐ 2: Some evidence that key targeted groups have been consulted in the design of the project.
- ☐ 1: No evidence of engagement with targeted groups during project design.
- ☒ *Not Applicable*

**Evidence:**

Las consultas son parte del proceso de implementación del proyecto.

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No documents available.			

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

- ☒ *Yes*
- ☐ No

**Evidence:**

Debido tanto a la situación actual de la pandemia COVID-19 así como a los riesgos políticos asociados al proyecto, se ha considerado el monitoreo frecuente para hacer ajustes y adaptaciones, caso sea necesario.

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No documents available.			



19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

- ☐ Yes
- ☒ No

**Evidence:**

El proyecto considera dos Outputs y sólo uno de los tiene GEN2.

**Management Response:**

Se revisarán alternativas para fortalecer la transversalización del enfoque de género en el primer output una vez iniciado el proyecto. Se mantendrá estrecha comunicación con la Asesora en Género de PNUD para dar seguimiento a este tema.

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No documents available.

**Sustainability & National Ownership****Quality Rating: Satisfactory**

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

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

**Evidence:**

El proyecto ha sido elaborado por PNUD El Salvador, en diálogo con el Centro Regional y en el marco de la oferta de servicios de UNDP Climate Promise. El documento ha sido discutido de forma preliminar con el MARN y de forma limitada con el Ministerio de Hacienda.

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No documents available.			

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

- ☐ 3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.
- ☐ 2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.
- ☒ 1: *Capacity assessments have not been carried out.*
- ☐ Not Applicable

**Evidence:**

No se han realizado ejercicios de evaluación de capacidades para ninguno de los sectores en los que se prevé la elaboración de planes sectoriales para la implementación de NDC.

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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?

- ☒ Yes
- ☐ No
- ☐ Not Applicable

**Evidence:**

Parcialmente y acotado al monitoreo de gasto y financiamiento del gasto climático.

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No documents available.			

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

- ☒ Yes  
☐ No

**Evidence:**

El proyecto tiene metas definidas de corto plazo en sectores priorizados. La participación y coliderazgo del MARN así como la inclusión de algunas municipalidades permitirían la sostenibilidad y escalamiento de los esfuerzos.

**List of Uploaded Documents**

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No documents available.			

**QA Summary/LPAC Comments**