Project Information

Project Information	
1. Project Title	Accelerating socio-economic development and multi-dimensional poverty reduction among Ethnic Minorities in Viet Nam (SEDEMA)
2. Project Number (i.e. Atlas project ID, PIMS+)	00115330
3. Location (Global/Region/Country)	Viet Nam
4. Project stage (Design or Implementation)	Design
5. Date	June 2020

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

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
The EM groups are facing the risks of lagging behind in terms of basic human capabilities (measured by the multi-dimensional indexes, such as the proportion of primary enrolment, accessibility to clean water and sanitation, etc.), new challenges are emerging in their lagging behind in advanced human capabilities and necessary skills of competitiveness in the 21 century, including in work-related skills, tertiary education, digitalization skills, climate change resilience, as the industrial revolution 4.0 (IR 4.0) and climate change (CC) accelerate.   The project follows an Human Rights Based Approach aiming to improve the resilience of EM people, especially women and supporting their capacity to continue to deliver essential services to vulnerable groups, which is in in turn to contribute to multidimensional poverty reduction and improvement of living standards for such EM groups. The main Articles under international human rights law that are applied within this project include Article 6, on the right to work, Article 11, on ensuring an adequate standard of living, including the right to a safe environment, Article 12, on the right to health, and Article 13, on the right to education, under the International Covenant on Economic, Social and Cultural Rights (ICESCR).

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment
The project sets out to improve gender equality and women's empowerment by a) improving the capacity of EM people, especially those led by women and vulnerable groups, on sustainable business development and financing b) Improving ecosystem of local authorities supporting EM people, especially those led by women and vulnerable groups c) Strengthening capacity of government policymaking that enables EM people to be gender-responsive, inclusive and transparent. It aims at improving gender equality and women's empowerment through three project outputs (i) developing an NTP with implementation guidelines for accelerating multi-dimensional poverty in EM areas and amongst ethnic minority groups based on the best practices and evidence from local level, including Lao Cai and Son La; (ii) testing innovative solutions for accelerating multidimensional poverty reduction (MDP) and SEDP for ethnic minorities (EM) are designed and experimented in Lao Cai and Son La and replicated to other areas within the NTP; and (iii) scaling up successful measures/solutions at local levels. Successfully tested (applied at the provincial scale) in NTP's innovative, integrated and breakthrough solutions together with the necessary and sufficient conditions identified and recommended for their application in other NTPs/NPs and the mainstream socio-economic development and provision of social services in EM areas and amongst EM groups. The project document furthermore describes how TOC assumptions will be tested through results framework indicators and how key risk mitigation strategies will be applied during implementation.   . As a project funded by the Australian Embassy (DFAT), the project follows the guidelines of UNDP and reporting system of MIS under the GREAT program. The implementation of the project will be guided by the UNDP Gender and Social Inclusion (GESI) taskforce, who will advise on strengthening gender equality under the project.
Briefly describe in the space below how the project mainstreams sustainability and resilience
The project aims to enhance the resilience of EM people in Viet Nam and contribute to social economic development on EM/vulnerable groups, especially women and girls. Both central and local government agencies will be strengthened to empower EM women, build and consolidate multisectoral/multi-stakeholder cooperation, monitoring and evaluation for supporting socio-economic development, poverty reduction and achievement of sustainable development goals. To achieve this, the project has two primary objectives: (i) improving the effectiveness of EM people, especially those led by women and vulnerable groups, to address the social and gendered impacts of COVID-19 and to accelerate the achievement of the SDGs; and (ii) strengthening the regulatory environment for EM people to be more gender-responsive, inclusive and transparent, thereby supporting the resilience of EM people to COVID-19 impacts, with a particular focus on EM people that are led by women and vulnerable groups.   With the project supports, both central and local government agencies will be strengthened to empower EM women, build and consolidate multisectoral/multi-stakeholder cooperation, monitoring and evaluation for supporting socio-economic development, poverty reduction and achievement of sustainable development goals.

To ensure the sustainability of the EM support and development, the project's key approach to be applied in the project is to start from prototyping, experimentations and scaling up the successful experimented solutions. The project will focus on (i) a few products selected based on careful considerations of feasibility, needs and capacity of women's groups, market demands and potentials for scaling up) for value chain development as outlined above, (ii) formulation of tailored multi-stakeholder platforms, (iii) facilitation of the improvements in the business environment to make the changes in the selected groups and value chains happen, and (iv) facilitate scaling up the successfully experimented practices. Following the approach, the work on prototyping and experimenting solutions plus the policy advocacy and policy dialogues, the project will create favorable conditions for provinces, districts, hamlets and the women's groups themselves to replicate the successful value chain models including the multi-stakeholder approach and application of I4.0 solutions for other key products of localities.

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

The principles of equality and inclusivity underpin all planned activities under the project. The project design is based on consultation with different beneficiary groups. The project will create an ecosystem to promote accountability to stakeholders at different levels, as follow:

a) Central level: a policy framework that will provide local levels with more space and flexibility to test and apply new ways of doing to create expected outcomes (i.e. the national targeted program design and management guidelines) will shift from an output- and compliance-based approach with rigid rules to an outcome-based approach, applying the principle of management by exception. This will create space for local innovation in adapting proven pilot activities to their own specific conditions, context and capacities. At the same time, the mechanism and incentives will be strengthened for the central level to hold the local level accountable for the achievement of outcomes and mechanisms for effective engagement of multi-sectoral stakeholders and inclusive financing mechanisms.

b) Local level authorities: skills and capacities will be developed to maximize the utilization of the new space for innovation, shifting to a facilitation and support role for the local people including poor ethnic minority women, to implement their own development plans and solutions, rather than instructing, directly-implementing and enforcing compliance with pre-determined rules and outputs defined from above. Knowledge and skills to be obtained include, for example, identifying the policy bottlenecks and communicating to central level for timely adjustment, respecting and valuing local/indigenous knowledge and new "supporting people's initiative" mindset for co-developing and providing need-based and responsive support and services, defining roles each of different actors and engaging multiple stakeholders including the private sector and other market actors, incentivizing innovative financing mechanisms, and applying results- and outcome-based management and monitoring.

c) Local people including poor ethnic minority women: will be the central innovators, in cooperation with related businesses/enterprises, cooperatives, service providers, to develop and implement their own development plans and solutions. They will be supported by the NTP and related businesses, service providers to obtain the new knowledge and skills, such as business opportunities, skills in identifying to bottlenecks, applying new technologies and obtaining required supports from different actors, needed to expand their businesses, generating and implementing their own solutions to address the health, education and livelihoods challenges they are facing, including resilience and recovery from COVID-19 socio-economic impacts.

The creation of an eco-system of accountability will be promoted through establishing an active learning loop both horizontally and vertically. This learning loop will (i) facilitate the interaction and dialogues among relevant stakeholders, particularly public and private, local authorities and communities and people, (ii) share and disseminate knowledge on the innovative solutions, (iii) facilitating the participatory decision-making process, (iv) solve local problems with localized solutions.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2.*	QUESTION 3: What is the level of significance of the potential social and environmental risks? *Note: Respond to Questions 4 and 5 below before proceeding to Question 5*			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
Risk Description (broken down by event, cause, impact)	*Impact and Likelihood (1-5)*	*Significance (Low, Moderate Substantial, High)*	*Comments (optional)*	*Description of assessment and management measures for risks rated as Moderate, Substantial or High*
Risk 1: Project activities have indirect adverse social and environmental impact on lands, natural resources, cultural practices and traditional livelihoods in the projects interventions to promote business development and advance human rights and gender equality, amongst Ethnic Minority people.	I = 1 L =1	**Low**	The project will focus on (i) a few products selected based on careful considerations of feasibility, needs and capacity of women's groups, market demands and potentials for scaling up) for value chain development, (ii) formulation of tailored	● <u>N/A: Risk level for social and environmental impact is considered low.</u>

| | | | multi-stakeholder platforms, (iii) facilitation of the improvements in the business environment to make the changes in the selected groups and value chains happen, and (iv) facilitate scaling up the successfully experimented practices.

Following the approach, the work on prototyping and experimenting solutions plus the policy advocacy and policy dialogues, the project will create favourable conditions for provinces, districts, hamlets and the women's groups themselves to replicate the successful value chain models including the multi-stakeholder approach and application of I4.0 solutions for other key products of localities. As a result, it will lead to changes in cultural | |

			practices, and improved use of natural resources, enhanced gender equality of EM people, especially EM women.	

QUESTION 4: What is the overall project risk categorization?	

Low Risk	X	No further social and environmental assessment is required. The SES Programming Principles still apply and, whereas measures to strengthen human rights and gender quality as well as stakeholder engagements and consultations are incorporated into the project design. If stakeholders raise concerns regarding the project's social and environmental aspects, the Low Risk designation will be carefully reviewed (e.g. serious objections will warrant a re-categorization).
Moderate Risk	☐	
Substantial Risk	☐	
High Risk	☐	

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			
Is assessment required? (check if "yes")			*Status? (completed, planned)*
if yes, indicate overall type and status	☐	Targeted assessment(s)	Planned

			☐	ESIA (Environmental and Social Impact Assessment)	
			☐	SESA (Strategic Environmental and Social Assessment)	
	Are management plans required? (check if "yes)				
	If yes, indicate overall type		☐	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	Planned
			☐	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			☐	ESMF (Environmental and Social Management Framework)	
	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?		**Comments (not required)**		
	Overarching Principle: Leave No One Behind				
	Human Rights	X			
	Gender Equality and Women's Empowerment	X			
	Accountability	X			
	1. Biodiversity Conservation and Sustainable Natural Resource	☐			

	Management	☐	
	2. Climate Change and Disaster Risks	☐	
	3. Community Health, Safety and Security	☐	
	4. Cultural Heritage	☐	
	5. Displacement and Resettlement	☐	
	6. Indigenous Peoples	X	
	7. Labour and Working Conditions	☐	
	8. Pollution Prevention and Resource Efficiency	☐	

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

Checklist Potential Social and Environmental <u>Risks</u>	
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the <u>SES toolkit</u> for further guidance on addressing screening questions.	
Overarching Principle: Leave No One Behind **Human Rights**	**Answer (Yes/No)**
P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	No
P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
Would the project potentially involve or lead to:	
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? [1]	No
P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Gender Equality and Women's Empowerment	
P.8 Have women's groups/leaders raised gender equality concerns regarding the	No

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[1] 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.

project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?		
Would the project potentially involve or lead to:		
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? *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*	No	
P.12 exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household No power dynamics, increased exposure to unsafe public places and/or transport, etc.*	No	
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
Would the project potentially involve or lead to:		
P.13 exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	No	
P.14 grievances or objections from potentially affected stakeholders?	No	
P.15 risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No	
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
Would the project potentially involve or lead to:		
1.1 adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No	

For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes		
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? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.12	handling or utilization of genetically modified organisms/living modified organisms?[2]	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[3]	No
1.14	adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks		
Would the project potentially involve or lead to:		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? *For example, through increased precipitation, drought, temperature, salinity,*	No

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[2] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.

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

	extreme events, earthquakes	
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)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	No
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security		
Would the project potentially involve or lead to:		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	No
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7	influx of project workers to project areas?	No
3.8	engagement of security personnel to protect facilities and property or to support project activities?	No
Standard 4: Cultural Heritage		
Would the project potentially involve or lead to:		
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,	No

	innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	
4.4	alterations to landscapes and natural features with cultural significance?	No
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
Would the project potentially involve or lead to:		
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?[4]	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
Would the project potentially involve or lead to:		
6.1	areas where indigenous peoples are present (including project area of influence)?	Yes (involve, especially activities under Output 2)
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)? *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*	Yes (involve), with positive impacts in term of promoting human rights,

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[4] 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.

		especially of activities under Output 2
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?	Yes (involve, activities under Output 2)
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? *Consider, and where appropriate ensure, consistency with the answers under Standard 5 above*	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? *Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.*	No
Standard 7: Labour and Working Conditions		
Would the project potentially involve or lead to: (note: applies to project and contractor workers)		
7.1	working conditions that do not meet national labour laws and international commitments?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No

7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	No
Standard 8: Pollution Prevention and Resource Efficiency		
Would the project potentially involve or lead to:		
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? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention*	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

1.   Risks analysis

Title	PROJECT RISK REGISTER - DELIVERABLE DESCRIPTION AND OFFLINE TEMPLATE
Responsible Unit	BPPS/Effectiveness Group
Date approved	18 June 2019
Applicability	Applicable to all UNDP Development Projects, Development Services, Engagement Facilities, Multi-Country and South-South Projects, Development and Institutional Effectiveness Projects
Is part of	UNDP Programme & Operations Policies and Procedures – Programme and Project Management

➢   **Purpose/Description of the Project Risk Register**

UNDP's Enterprise Risk Management Policy applies to risks across all levels of the organization, including project level. Risks at the Programme/Unit level are tracked through the IWP Risk Register. Risks at the Project Level are tracked through the Project Risk Register.

Risk is defined as the effects of uncertainty on organizational objectives. An effect can be positive and/or negative. It is best practice to formulate risk in terms of "future event."

In order to contribute to a project's success, risks must be identified, assessed, prioritized and mitigated. Risk treatment and mitigation measures need to be considered and an appropriate risk management plan needs to be developed and implemented. This involves planning for and implementing resources to carry out selected actions to address the risks. These actions must be incorporated in the project work-plan, including project monitoring and reporting to ensure that all risk management activities are being implemented and have the desired effect.

Risks must be identified and assessed using the project Risk Register, which shall be submitted to the Project Appraisal Committee (PAC) as an annex to the project document. The Risk Register must then be maintained and updated as needed in Atlas for the duration of the project, no less than once a year during implementation.

➢ **Project Risk Register Templates**

There are two templates for the Project Risk Register: an offline template, and an Atlas template.

See Annex 2 for the offline template for the Project Risk Register. The offline template should be used for the initial drafting of the Risk Register during project design and included in the draft project document as an annex.

[Click here for the Atlas Project Risk Register](#) in the Project Management module. During project implementation, the project management team should update the Risk Register in Atlas as often as needed but no less than once a year.

Should the project management team have limited access to Atlas, it is acceptable to use the offline template. The offline template should be transferred into Atlas by the UNDP Project Assurance (or by a member of the project management team with external access to Atlas) on a regular basis.

The Risk Register information in Atlas is automatically reflected in the Project Progress Report.

Note that Programme/Unit level risks are tracked in the Corporate Planning System, through the IWP Risk Register. The Project Risk Register should be informed by the IWP Risk Register, and vice versa.

➢ **Composition of Project Risk Register**

  ➢ Risk ID number: reference number to allow grouping of all information on this risk

  ➢ Description: brief description of the risk, including potential future event and its cause

  ➢ Date identified: when was the risk identified

  ➢ Type (i.e. as per ERM risk categories): Social and Environmental, Financial, Operational, Organizational, Political, Regulatory, Strategic, Safety and Security. NOTE: In Atlas the "Environmental" risk category is equivalent to the ERM "Social and Environmental" risk category. The "Other" category should not be selected and any old risks categorized as "Other" should be updated to identify one of the 8 ERM risk categories.

  ➢ Impact and Likelihood:

- o Impact: effect on the project if the risk were to occur on a scale of 1 (low) to 5 (critical)
- o Likelihood: estimate of the likelihood of the risk occurring on a scale of 1 (not likely) to 5 (expected)

➢ Risk Owner: the person or entity with the responsibility to manage the risk.

➢ Risk Treatment(s)/Management Measure(s): what actions have been taken/will be taken to counter this risk

➢ Current status of Risk Treatment(s): implementation status of risk treatment/management measures and their effectiveness and relevant changes in context (online only)

➢ **Inputs**

Risks are identified using the ERM Risk Categories (see Annex 1) and relevant risk tools such as the HACT, Social and Environmental Screening Procedure, Private Sector Due Diligence, Theory of Change, Procurement Risk Radar, etc. Project risks can be identified and updated at any time. They may also derive from risks identified at the Programme/Unit level or may contribute to risks at the Programme/Unit level.

Based on identification and assessment, a risk analysis shall be completed by the Project Developer as part of the Project Document preparation, using the standard offline Risk Register template. The initial draft of the Risk Register should be reviewed by the PAC. Once the consensus on the risks, including possible management measures if known, has been reached, and once the project Award has been created, the risks should be recorded in Atlas in the Project Management Module.

The Risk Register should be maintained and updated as needed (but at least once a year) in Atlas for the duration of the project; the information entered will be reflected in the Project Progress Report. There must be a check for any new risks every time the Risk Register is updated.

➢ **Atlas Action Points**

The Atlas Project Management Module's Risk Register should be used to reflect the Risks initially identified and presented to the PAC. The same facility should be used to provide regular updates on identified risks and to record new risks. Navigation is Technical supports > Project Management > Approved Projects > Risks tab.

To learn how to open the Risk Register in Atlas, see the Atlas Project Management Module User's Guide.

Notes on access:

➢ A risk recorded in Atlas the first time **will permanently remain in the system**. After saving a risk description, no changes will be allowed to the risk description, since the risk was duly identified in the first place.

➢ On the other hand, the fields for the Risk Treatment(s) / Management Measures and status for a given risk can be modified any time.

➢ New risks can be added at any time and risks that are no longer relevant can be updated so they are no longer active.

➢ **Responsibilities & Accountability**

➢ The Project Developer drafts the initial Risk Register as part of the Project Document preparation process and submits it to the PAC for Review.

➢ The PAC must review and endorse the initial draft of the Risk Register.

➢ The Project Developer has the responsibility to create the Risk Register in Atlas following project approval, based on consensus reached during the PAC.

➢ Throughout the implementation of the project, it is the responsibility of the Project Manager to maintain and update the Risk Register, to ensure that risks are communicated and to implement countermeasures as decided by the Project Board.

➢ It is the responsibility of Project Assurance (e.g. Programme Officer) to ensure that details of identified risks are regularly updated in Atlas and properly reflected as part of the Project Progress Report (PPR).

  o If the project management team does not have access to Atlas, the Project Assurance should be responsible for entering risk updates into the system, based on information submitted by the Project Manager using the standard template.

  o If the project management team has external access to Atlas, they will update the details of identified risks in the system. However, the UNDP Project Assurance should review the inputs by the project management team, prior to the submission of the PPR.

➢ The Project Board has the responsibility to continually scan for emerging risks.

➢ It is the responsibility of the Project Manager to inform in a timely manner the Board regarding any new risks, changes to existing risks, or escalation of risks.

➢ In cases where a Project Document or Project Board are not required (e.g. Development Services, Engagement Facility, Development and Institutional Effectiveness Project), the Risk Register is still created and maintained in Atlas to inform decision making.

➢ **Additional Resources**

Enterprise Risk Management (ERM) section of the POPP. Additional relevant policies and tools include:

- ERM Dashboard
- Harmonized Approach to Cash Transfer
- UNDP Anti-Fraud Policy
- UN Programme Criticality Framework

- UN Security Risk Management (SRM) Policy
- Business Continuity Management
- UNDP Policy on Due Diligence and Partnerships with the Private Sector
- Programme/Project Quality Assurance
- Social and Environmental Standards and Screening Procedure
- Theory of Change
- Procurement Risk Dashboard
- Crisis Risk Dashboard