

PROJECT DOCUMENT

[China]



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Project Title: United Nations Development Programme – People’s Republic of China - Environmental Governance and Sustainable Development of Wuhai, Inner Mongolia Autonomous Region

Project ID: 109848

Implementing Partner: China International Center for Economic and Technical Exchanges (CICETE), Ministry of Commerce of the People's Republic of China

Start Date: October 1st, 2018 **End Date:** December 31st, 2022

Brief Description

The 19th National Congress of the Communist Party of China systematically summarized and focused on deploying construction of ecological civilization and ecological environmental protection. The Congress highlighted the achievements through the past five years, and proposed a series of new concepts, requirements, goals, and deployments, including for promoting ecological civilization in China. At the United Nations (UN) Sustainable Development Summit in September 2015, the world approved the 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs) covering areas such as poverty reduction, health, education, gender equality and environmental protection for the next 15 years. The 2030 Agenda offers a new vision for global development.

This project combines the spirit of the 19th National Congress and the SDGs to promote the development of a green economy in Wuhai City of Inner Mongolia Autonomous Region of China, where mining and heavy industry are dominant industries. The project will explore options for transitioning the economy to a green economy that is inter alia, low-carbon, resource efficient and socially inclusive. The project will also promote ecosystem remediation and wetland conservation in the mining area to reduce environmental risks and scarcities. . The objective of the project, to help facilitate the realization of a green economy, is to be achieved by strengthening the environmental and development policy process, pilots in mine management and slag mountain management, pilots in new energy sources, promoting biodiversity conservation and ecotourism, increasing livelihood opportunities with a focus on women, and increasing indigenous people knowledge of environmental issues, and providing solid project management and technical support.

<u>Contribution to the Sustainable Development Goals (SDGs):</u> <ul style="list-style-type: none"> ➤ Goal 3 : Ensure healthy lives and promote well-being for all at all ages ➤ Goal 5: Achieve gender equality and empower all women and girls, ➤ Goal 7 : Ensure access to affordable, reliable, sustainable and modern energy for all ➤ Goal 9 : Build resilient infrastructure, promote sustainable industrialization and foster innovation ➤ Goal 13: Take urgent action to combat climate change and its impacts ➤ Goal 15: Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss 	Total resources required:	\$15,742,284
	Parallel funding (In-kind) from Government	\$808,800
	Government Cost Sharing	\$9,111,484
	Parallel Funding from Private Sector	\$5,800,000
<u>Contribution to the United Nations Development Assistance Framework (UNDAF) from 2016 to 2020 for the People’s Republic of China</u> <ul style="list-style-type: none"> ➤ Outcome 2: More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth 	UNDP TRAC	\$22,000
<u>Contribution to the UNDP Country Programme Document (CPD) for China (2016-2020)</u> <ul style="list-style-type: none"> ➤ Output 2.1: China’s actions on climate change mitigation, biodiversity and chemicals across sectors are scaled up, funded and implemented. 		

Agreed by (signatures)

United Nations Development Programme China Office	China International Center for Economic and Technical Exchanges, Ministry of Commerce	Wuhai Municipal People’s Government of Inner Mongolia Mongolian Autonomous Region	Inner Mongolia Guangna Coal Industry (Group) Co., Ltd.
			
Print Name:	Print Name:	Print Name:	Print Name:
Date: September 12, 2018	Date: September 13, 2018	Date: September 2018	Date: September 2018

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ACRONYMS

UNDP	United Nations Development Programme
CICETE	China International Center for Economic and Technical Exchange
SDG	Sustainable Development Goals
PCMO	Project Coordination and Management Office
PIO	Project Implementation Office

I. BACKGROUND

After 40 years of reform and opening up, China's economy has achieved extraordinary development. The two most obvious features of China's development are the sustained and rapid economic growth, and the deep social changes that came along with the economic growth. Although the Chinese government has been committed to constantly improving the laws, regulations, institutions and skills and knowledge of personnel, and making efforts to reduce the environmental impact of economic development, China has paid huge environmental costs for its rapid economic development. China faces complex challenges with regards to environmental sustainability, perhaps some of the most complex challenges seen in the world today.

The fundamental and underlying problem of China's eco-environment lies in its extensive economic growth. To improve eco-environment condition, the development model must be changed. The current model highly relies on increased consumption of physical resources, environmental consumption, extensive scale expansion, high energy consumption and dependency on high emission industries. The development model with high emissions and pollutions is not only undesirable but also negatively impacting long-term development. To promote sustainable development, it is necessary to facilitate the transition from old to new drivers of economic growth, while reducing environmental risks.

The 19th National Congress of the Communist Party of China pointed out the direction and fundamental set-up to follow, for promoting ecological civilization and the construction of a beautiful China. Ecological civilization is here understood as the final goal of environmental reform within a given society. It implies that the changes required in response to global climate disruption are so extensive as to represent another form of human civilization, one based on ecological principles. Broadly construed, ecological civilization involves a synthesis of economic, educational, political, agricultural, and other societal reforms toward sustainability.¹ Ecological civilization has been an explicit goal of the Communist Party of China since 2007.² The vision is to build a modern socialist state with Chinese characteristics, a state with a healthy environment for people, solving severe environmental problems, increasing protection of ecosystems and reform the ecological environment supervision system, and promoting a green economy. Green economy is in this project document aligned to the well-used 2011 definition from UN Environment (previously UNEP): "that to be green, an economy must not only be efficient, but also fair. Fairness implies recognising global and country level equity dimensions, particularly in assuring a just transition to an economy that is low-carbon, resource efficient, and socially inclusive."³

Resource-based cities, such as Wuhai, are fundamental for the sustained development of the national economy. Promoting sustainable development of resource-based cities is fundamental to accelerate the transformation of the economy development, and to achieve a prosperous society in all aspects. Related, it is also important to promote regional development, promote new industrialization and urbanization, maintain social harmony and stability, building order to build an ecological civilization. There are numerous number of resource-based cities. These cities are located throughout China and have made great historical contribution and realistic status and promoted the development of the national economy. However, due to overall planning and resource attenuation, these cities have encountered many contradictions and issues, mainly regarding the unbalanced economic structure, undeveloped substitutive industry and seriously damaged the environment, etc.

¹ Zhihe Wang, Huili He, and Meijun Fan, "[The Ecological Civilization Debate in China: The Role of Ecological Marxism and Constructive Postmodernism—Beyond the Predicament of Legislation](#)", last modified 2014, *Monthly Review*.

² Zhang Chun, "[China's New Blueprint for an 'Ecological Civilization'](#)", last modified September 30, 2015, *The Diplomat*.

³ UNEP, 2011, [Towards a Green Economy: Pathways to Sustainable Development and Poverty Eradication](#), www.unep.org/greeneconomy

Although the transformation of some resource-based cities has begun and seen some accomplishment, there is a growing number of resource-based cities facing severe development challenges as the city declines when the mines depletes. The development of alternative industries is key to realize the economic transformation of these resource-based cities. Therefore, the correct selection of the development direction and path of the alternative industry is a pre-requisite of the realization of the sustainable development of resource-based cities.



Wuhai is an emerging industrial city located in the west of the Inner Mongolia Autonomous Region. The city is located at the upstream of the Yellow River, at the east and the north of Ordos, to the south of Shizuishan City in Ningxia and as the west of Alashan League. It is located at the junction of northern and northwestern China, by one of the central areas along the “Yellow River Economic Area” and within the “Ningxia, Inner Mongolia, Shaanxi, and Gansu Economic Zone”. Wuhai ranked 43rd among 338 prefecture-level city nation-wide on the “moderately prosperous society in all respect index”. Air conditions in Wuhai are impacted by the presence of heavy industry. For example, The Annual Mean Concentration of PM_{2.5} has shown a decrease trend from 55 $\mu\text{g}/\text{m}^3$ in 2015, 46 $\mu\text{g}/\text{m}^3$ in 2016, and 44 $\mu\text{g}/\text{m}^3$ in 2017. However, the mean concentration in 2017 is of 44 $\mu\text{g}/\text{m}^3$ is considerably higher than the World Health Organisation’s (WHO) recommendation of 10 $\mu\text{g}/\text{m}^3$ annual mean.⁴

As one of the key nation-wide projects, the Yellow River and Haibowan hydro-complex started construction in April 2010, and started water storage in September 2013, forming a 118 km² wide “Wuhai Lake”. The water area of “Wuhai Lake” is 20 times of West Lake in Hangzhou, and 5.4 times of Ningxia Sand Lake. Wuhai is rich in resources and has been called the "Sea of Black Gold".

Wuhai is rich in coal. Coking coal⁵ accounts for 60% of the proved coal reserves in the autonomous region. The major economic sectors of the city include energy, chemical engineering, construction materials, and metallurgy production. Wuhai has a large reserve of high-quality coking coal, coal series kaolinite, limestone, iron ore, quartz sand, dolomite and other minerals. These resources are considered to be of high quality and easy to exploit. In addition, these resources are relatively concentrated, bringing high industrial value. Among these resources, high-quality coking coal accounts for 75% of the proven reserves in the autonomous region and is an important base for coking coal nation-wide. In Wuhai, the prospective reserves of limestone and coal series kaolinite are more than 20 billion tons and 1.1 billion tons, respectively. The potential economic value is worthy of more than 400 billion yuan. Therefore, the numerous mineral resources provided guarantee for the



⁴ [http://www.who.int/en/news-room/fact-sheets/detail/ambient-\(outdoor\)-air-quality-and-health](http://www.who.int/en/news-room/fact-sheets/detail/ambient-(outdoor)-air-quality-and-health)

⁵ Coking coal, also known as metallurgical coal, is used to create coke, one of the key irreplaceable inputs for the production of steel

development of Wuhai's mining industry. Wuhai is a resource-based (city) economy. It is a resource-based industrial city, giving abundant limestone and coal resource. At the same time, Wuhai is also an energy-intensive industrial city, focusing on coal, coking, construction materials and chemical engineering materials.

The Wuhai City Government Work Report for 2018 determines the major objectives of economic and social development in the next five years as:

- 1) steady progress in making regional cities more innovative,
- 2) new achievements in economic and urban transformation,
- 3) the quality and efficiency of development to be significantly improved, and
- 4) the quality of people's lives will be greatly improved.

Relevant strategies include:

1) implementing an industrial upgrading strategy and building a city for transformation and demonstration. Continuously focusing on both large volume and structural optimization, accelerating the transformation of the economy from industrial-oriented to multi-driven, and promoting the upgrading of Wuhai's economy. To be firmly committed on promoting transformation of industrial structure and development model, promoting the development of traditional industries to new and high-end industries, continuously cultivating and expanding strategic emerging industries, enhancing the scale and level of modern service industry and characteristic agriculture development, and building a distinctive modern economic system.

2) implementing the strategy of "lucid waters and lush mountains" to create a beautiful ecological city. To promote joint prevention and control of air pollution, comprehensively implement the "river chief system", to make great efforts to solve severe environmental problems, and resolute win the "blue sky defence war". Implementing ecosystem protection and restoration projects, weaving a green network system covering urban and rural areas, and focusing on creating an ecological and environmental protection area.

3) Implementing livelihood priority strategy and build a city of well-being an happiness. Other development issues to be addressed are poverty alleviation, employment and innovation, social security, renovation of run-down areas, food and drug safety, etc. and continuously enhancing people's sense of acquisition, happiness, and security.

To promote the sustainable development of the economy in Wuhai, The 13th Five-year Plan of National Economic and Social Development of Wuhai⁶ considered adjusting the industrial structure and promoting industrial transformation and upgrading as the key points of transforming the economy The city aims to optimize the storage and upgrade the quality through the transformation, continuously optimize and strengthen the industry, accelerate the development of the service sector, and vigorously promote modern agriculture. Key areas include: 1) Promoting the industrial transformation and upgrading; 2) Promoting the transformation, extension and coupling development of traditional chemical industry; 3) Actively cultivating strategic emerging industry; 4) Promoting the formation of new pillar industries for the development and utilization of featured resources; 5) Accelerating the construction of clean energy production and exporting base. 6) Strengthening the construction of energy infrastructure; 7) Expanding the economic strength of the park; 8) Creating a demonstration area for the economic transformation of resource-based industry in Inner Mongolia.

According to the The 13th Five-year Plan of Inner Mongolia to Combat Climate Change," Inner Mongolia is at the stage of rapid industrialization and urbanization, while the carbon emissions continues to grow. It is difficult to change characteristics of the heavy-industry centred industry and carbon-

⁶ www.nmgfgw.gov.cn/xxgk/ztlz/.../P020160930556499898417.doc

intensive energy structure in the short run. Moreover, the system to tackle climate change is relatively weak, lacking relevant mechanism and experts. The ability to prevent extreme weather is insufficient, and the mechanism for early-warning to announce disasters is inadequate. According to the plan, the autonomous region can improve energy efficiency in energy-intensive industries by using advanced, applicable, energy-saving and low-carbon technologies, promote energy conservation in transportation, and build a green, low-carbon, safe and efficient comprehensive transportation system. In addition, the region can vigorously develop the circular economy, refine and strengthen the “small cycle” of enterprises, expand and realize the “medium cycle” of industrial parks, and achieve the circular economy of the society. At the corporate level, the goal of achieving low or zero emission can be achieved through cleaner production. At the industrial or industrial park level, there should be an industrial chain of circular economy, and an ecological industrial network should be developed. Wuhai city may be selected as a pilot to be a national low carbon industrial park, which would have a positive force in transitioning the economy. This project would strengthen Wuhai’s candidacy.

To address the environmental issues faced by Wuhai City, the “The Resource-based City Sustainable Development Plan” (Guo Fa [2013] No.45)⁷, issued by the state council, listed Wuhai as the key project to regulate and deal with the pollutant. The 13th Five-Year Plan of Environmental Protection of Wuhai⁸ plan to carry out comprehensive environmental regulation plan in the mining area, including controlling self-ignition of coal gangue in coal-washing plant, and comprehensively regulate environmental issues within mining. It is required to organize and implement the environment regulation plan in mining areas in accordance to the Environmental Regulation Implementation Plan of Wuhai, focusing on solving issues related to the self-ignition of coal gangue. In addition, the regulation plan will also carry out soil-covering, curing and afforesting in the slag dumps. Moreover, the plan would strengthen the monitor and control over the newly constructed and production mines, and strictly implement the principle of regulating and conducting mining activities at the same time.

II. PROGRAMME STRATEGY

2.1 Development Challenges

The development model of resource-oriented cities with "high energy consumption, high pollution and low efficiency" struggles to adapt to a greener economy. The below describes a number of challenges seen in Wuhai city and similar locations in China:

1) The supply and availability of resources are difficult to sustain and these resources are utilized inefficiently. Because of long-term high-intensity mining, many major mines have been closed, and many resource-based cities are facing energy depletions. In addition, the majority of mining enterprises do not have enough exploration on periphery of mining area; therefore, it is hard to substitute with local resources. Also, many large enterprises waste many resources in the process of extraction. Incidents such as illegal mining, and insufficient exploration of large mines often occur, causing great damage to resources and the environment.

2) The industrial structure is simple, and the economic development is unbalanced. In the industrial structure of resource-based cities, mining industry and raw material processing industry are of too high percentage in the entire economy. In the product structure, the primary and medium-level industrial product accounted for an absolute share of the product; the industrial chain is short, bringing low economic benefits. Moreover, the city financial resources are highly concentrated on industrial and mining industries. This lead to a lagging tertiary industry and rural economy, and insufficient development momentum.

3) The environment is severely damaged, and there is degradation of ecological function. Resource-based cities in China generally face problems including the mining subsidence, waste accumulation, air and underground water pollution, etc. At the same time, as the mining area and the tailings disposal remain loosely regulated, the soil erosion and desertification in certain areas would exacerbate. Moreover, most resource-based cities face

⁷ http://www.gov.cn/gongbao/content/2013/content_2547140.html

⁸ <http://hbj.wuhai.gov.cn/zwgk/>

problems including degeneration of ecological function, flood, drought, natural disasters such as forest fires, diseases and pests, and incidents including frequent collapses of tailings mines and goaf areas.

4) Coordination among large mining enterprises in the city and the local government(s) is to be enhanced. Coordination barriers between the mines and cities tend to aggravate the conflicts between the SOEs and local government in the distribution of interests and the possession of resources; large industrial and mining enterprises often have their own self-service system, causing unbalanced relationship between large enterprises and small governmental entities. This makes it difficult for cities to perform their comprehensive function at the administrative level. Moreover, under the market economy condition, some industrial and mining enterprises appear to have large institution and rigid management, lead to low efficiency and low market competitiveness.

As a typical resource-based city, Wuhai's economy mainly relies on the exploration of natural resources. The city faces problems such as homogenized industrial structure, energy depletion, and extensive economic growth. Recently, due to the growing resource scarcity and cost of exploiting, the change of supply and demand relation for resource-oriented products, and inherent conflicts within the resource-based city, Wuhai's traditional development advantages weakened gradually. As a result, the city is facing the increasing demand for the urban transformation. In addition, the city is facing development problems including poor spatial agglomeration benefits, redundant construction of infrastructure, the deterioration of ecological environment, and other spatial development, and the transformational problem regarding the urban economic and social transformation in the new era.

2.2 Theory of Change

The overall problem that the project seek to address is Wuhai's economy's reliance on the mining of coal and other non-renewable energy resources, and the negative impacts such industries may have on the environment. The introduction of green economy initiatives is a tool to help bring about sustainable development: ensuring both economic prosperity, environmental sustainability and social inclusion. The concept of a low-carbon economy has been adopted by China. Wuhai City intends to transform its economy toward a green economy in the future. The city needs to reduce its dependence on non-renewable energy resources, and reasonably adopt, implement and foster low-carbon economic development through the adjustment of industrial structure and transforming the economy. Therefore, Wuhai needs to focus its sustainable urban development in the following areas:

- 1) The city needs to change its economic structure from high dependency non-renewable resources in accordance with the characteristics of "low emission, high performance, and high efficiency", and;
- 2) The city needs to continuously strengthen the environment regulation and the vitality for sustainable development.

Industrial transformation: Due to the non-renewable characteristic of coal, the trend of using coal as the leading energy source will soon change. This will inevitably lead to a new industrial transformation of Wuhai. Therefore, Wuhai must accelerate the city's transformation in production, and increase the share of technology-intensive, knowledge-intensive and value-added good in the entire economy, leading to a more advanced and profitable industrial structure. In addition, the city needs to develop non-coal and high-tech industries. From the perspective of circular economy, the city needs to improve the utilization rate of resource transformation, and decrease the level of waste emission. Based on the existing energy and raw materials industry, the city can actively develop the downstream industry. From the perspective of service production and service area, the city needs to actively develop its modern service industry, promote the transition of industrial chain from manufacturing-oriented towards service-oriented. This may eventual bring Wuhai from a mining city to a modern city with comprehensive transformation and upgrade.

Ecological priority: Fragile ecological environment is an important bottleneck restricting the development of Wuhai. Ecological recovery, management and improvement should be the primary goal of the development of Wuhai. In order to coordinate the urban development with the ecological

environment construction, the city needs to reserve enough land for ecological development, prioritize the arrangement of lands for ecological construction, protect ecological land and ensure the stability of the regional ecological security pattern. Based on the status quo of Wuhai, the major areas for ecological construction should include desert control zone within the desert steppe, bio-diversity protection zone within the desert steppe, water conservation zone, farmland ecological reserve zone, etc. The city also needs to scientifically plan the slag dump sites⁹ in the mining areas, intensify ecological recovery, accelerate the management of desertification land in urban areas, and create a healthy living environment for all of its residents.

Spatial integration: To achieve the urban transformation and development goal, Wuhai must create favourable functional space to promote urban transformation. At present, the leading industry and economic center of Wuhai city is still coal mining and heavy industry. Therefore, the city needs to choose industries with great market prospects, with great industry correlation, while maintaining the steady development of coal and chemical industry. For some mining areas that have entered the late stage or post-exploitation stage, the city can develop industrial tourism such as mining technology demonstration area, coal culture development area and recreation areas, relevant industry museums or similar, to develop tourism as an industry, while being cognisant of the aim to improve the humane society and nature in the mining area.

In response to the above-mentioned problems faced by Wuhai City for sustainable development toward a green economy, the project will strengthen the development of policy by providing technical assistance, emphasizing the mainstreaming of environmental issues in development planning, enhancing the comprehensiveness of development plan and pertinency of interventions. To this end, the project includes a review of the lessons learned from the development policy process in Wuhai City and best practices, introduce advanced cases of sustainable urban development, and carry out policy and planning capacity building. The project will also directly provide technical assistance to relevant policies, plans and pilots related to promoting sustainable development in Wuhai City, and accelerate the formulation of relevant policies and the efficiency of policy implementation.

While supporting the development of relevant plans and policies, the project involves supporting a range of industry-level and enterprise-level capacity building activities to enhance industry and business capabilities in industrial planning and engineering planning, especially to enhance coordination implementation of industry policies and planning, as well as the sustainability of specific environmental remediation plans, and narrowing the gap between policy and planning objectives and actual implementation.

To provide practical experience for the economic transformation of Wuhai City, the project will implement pilots in low-carbon technology application, hydrogen energy production and utilization pilots and mine rehabilitation demonstrations, summarize successful experiences, and provide technical assistance for wider promotion and replications. As such, the lessons learned from Wuhai City may be applied in similar context throughout China if relevant.

In order to improve the effectiveness of biodiversity conservation, the project will promote joint management of wetlands in Wuhai, creating a coordination mechanism for a more unified management of wetlands, enhancing the integrity of habitats, and supporting scientific monitoring programs.

In order to ensure the sustainability of the project results, the project involves the formulation of Wuhai's Public Environmental Awareness Plan. Based on the existing environmental education work in Wuhai, the coverage and depth of environmental awareness promotion is improved as well as the understanding of the public and policy makers about the importance of environmentally sustainable Wuhai landscape. The active participation and engagement of women in environment and development

⁹ A slag dump site is a place of deposit for the slag or cinder which results from a metallurgical operation on an ore. The cinder is conveyed in cars and dumped, or it is allowed to flow in fluid form through runners or channels.

issues shall be enhanced. The project will particularly focus on gender equality and women's economic empowerment as drivers for sustainable development.

Based on the above project intervention strategy, the project design also considers the following factors:

1) The project design and project implementation arrangements are closely combined with the current relevant institutional arrangements and related policies, which will greatly improve the efficiency of the project and lay a systematic and institutional foundation for the promotion and sustainability of the project results;

2) When selecting pilots, the project will select pilot industries and enterprises with relatively good basic and technical capabilities in the actual stage of the pilot, adopting a "step-by-step" approach and gradually expand to other enterprises;

3) Due to the limited resources available for the project objectives, during the four-year implementation period, the project will specifically support long-term strategy on the awareness of environmental sustainability and sustainable development among decision makers (government and enterprise level) and the general public;

4) The project design and implementation will involve the most influential institutions in Wuhai on environmental sustainability and sustainable development policies and planning.

Within all the above initiatives, public awareness and support will be critical in achieving the project goals and ensuring the sustainability of project outcomes. The project seeks to explore avenues for indigenous people to share views on the future they envision for their city.

2.3 Strategic Objectives

The strategic objective of the project is to promote the development of a green economy in Wuhai City. The Project will explore ways to transform the current economy of a resource-based city to low-carbon economy, and strengthen environmental governance such as in ecosystem remediation and wetland conservation in the mining area. The objective of the project, to help facilitate the realization of a green economy, is to be achieved by strengthening the environmental and development policy process, pilots in mine management and slag mountain management, piloting new energy sources, promoting biodiversity conservation and ecotourism, and increasing indigenous people knowledge of environmental issues, and providing solid project management and technical support.

2.4 Strategic Approach and Guiding Principles

The project seeks to promote sustainable development through creating and sharing knowledge and experience, strengthening public-private partnerships, integrating relevant technologies and financial resources, advancing innovative working mechanisms, and engaging a number of stakeholders.

The project contributes directly to the following SDGs: Goal 3: Good health and well-being, to ensure healthy lives and promote well-being for all at all ages; Goal 5: Achieve gender equality and empower all women and girls, Goal 7: Affordable and Clean Energy, to ensure access to affordable, reliable, sustainable and modern energy for all; Goal 9: Industry, Innovation and Infrastructure, to build resilient infrastructure, promote sustainable industrialization and foster innovation; Goal 13: Climate Action, to take urgent action to combat climate change and its impacts; Goal 15: Life on Land, to conserve, restore and promote the sustainable utilisation of land eco-system and sustainably manage forests, combat desertification, halt and reverse land degradation, and halt biodiversity loss.

The project seeks to promote the vision of the 2030 Agenda for Sustainable Development, and its firm commitment to "leave no one behind" and "endeavor to reach the furthest behind first". The pledge is substantiated in SDG targets that aim to curb inequalities, discrimination and exclusion, in health, education, income, and ensure that all people have clean water, adequate nutrition, decent healthcare,

education, energy and other essentials. The leave no one behind pledge is, thus, a commitment to end absolute poverty, in all its forms and ensure that those who have been ‘left behind’ can ‘catch up’ to those who have experienced greater progress. With the 2030 Agenda, all countries recognized that high and rising inequalities are not only an impediment to sustainable human development; they are a violation of shared norms, values and our intrinsic human sense of fairness. The project directly contributes to outcome 2 of the UNDP Strategic Plan 2018-2022 to “accelerate structural transformations for sustainable development”. The project integrates several of UNDP’s Signature Solutions, including solution 1 on keeping people out of poverty, solution 5 on closing the clean energy gap, and solution 5 on strengthening gender equality.

This project directly contributes to the realisation of the *United Nations Development Assistance Framework for the People’s Republic of China - Outcome 2: More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth*. This project is also in accordance with the expected results of the *UNDP Country Programme Document for China (2016-2020)*, specifically, Output 2.1 China’s actions on climate change mitigation, biodiversity and chemicals across sectors are scaled up, funded and implemented.

2.5 Implementation Modality

The implementation of the project will be based on public-private partnerships and will be coordinated closely in the implementation phase with collaborative development projects such as environmental governance and climate change funded by governments and other funders, through collaboration and experience sharing. Strengthen the effectiveness and impact of project implementation in policy and technology promotion.

The project will have a Project Steering Committee with the participation of key stakeholders as the highest decision-making body for the project. Its members include UNDP, the China International Center for Economic and Technical Exchange of the Ministry of Commerce, relevant departments of the Wuhai Municipal Government, and representatives of Inner Mongolia Guangna Coal Industry (Group) Co., Ltd. In alignment with the Project Document and relevant documents, the Steering Committee will promote policy coordination, cross-sectoral consultation and experience sharing of relevant departments through regular meetings.

The project will involve sharing of experiences with similar projects implemented by international agencies, in particular with similar projects implemented by the United Nations Development Programme China Office, such as the past and ongoing projects under the Global Environment Facility (GEF), and South South Cooperation. This will help to ensure the sustainability of the results and experience of these projects, and share and promote the project outcomes and experience domestically as well as globally

2.6 Financial Modality

The project will be supported by Inner Mongolia Guangna Coal (Group) Co., Ltd. for a period of four years (2018 - 2022) with a total amount of USD \$9,111,484, channelled through the Wuhai government. Apart from the above-mentioned funds, the Wuhai Government will provide parallel funding of USD \$808,000 in-kind to support the implementation of policies and regulations. A parallel funding of USD \$5,800,000 will be provided by Inner Mongolia Guangna Coal (Group) Co., Ltd. to support the demonstration of mining rehabilitation and initiatives to promote women’s economic empowerment. UNDP TRAC of \$22,000 will be provided for the M&E Task Force. The project budgets and budget allocations are described in detail in Chapter VII.

During the implementation of the project, technical cooperation will be carried out with projects supported by local government special financial funds to jointly promote technical and policy objectives in the cross-over and overlapping areas, such as major scientific and technological projects for control and treatment of water pollution, special funds for control of air pollution, projects of soil and water

conservation, construction of “green mines” in the coal industry, wetland protection projects, territorial resources management and energy efficiency, clean and renewable energy projects, ecotourism and people's livelihood projects and etc. Project funds supported by relevant government special financial funds will be regarded as counterpart funds of the government. Under the premise of unchanging the usage of funds and unchanging the implementation system, it will be included in the annual work plan of the project and implemented centrally.

The project will promote a participatory approach, seeking to include views and experiences from a number of stakeholders including academia, the private sector, charitable foundations and other civil society groups during the implementation period. According to the priority areas of the parties, newly identified opportunities, and the needs of environmental governance and sustainable development in Wuhai City, corresponding project activities will be designed to enrich project achievements, and expand the project's influence and sustainability of its results.

New partners participating in the project and any newproject activities will be planned, designed and approved in accordance with the requirements of the project management of UNDP and the Ministry of Commerce.

III. RESULTS AND PARTNERSHIPS

3.1 Expected Results

In the next four years till 2022, the project seek to achieve the following medium-term results:

- Expected Outcome 1: The transitioning of Wuhai City’s economy to a green economy is well underway by 2022.
- Expected Outcome 2: Wuhai city implements strengthened environmental protection frameworks and sustainable development policies and initiatives. indigenous people

3.2 Expected Outcomes and Outputs

The project will achieve the expected outcomes by carrying out the following activities and achieving associated outputs:

Expected Outcome 1: The transitioning of Wuhai City’s economy to a green economy is well underway by 2022.

- Output 1: Policies and management frameworks related to the development planning of Wuhai's industrial sector in place and/or strengthened.
- Output 2: Wuhai City has the tools in place to become one of the first cities to be certified as a “green mining pilot” as per Chinese regulation.¹⁰
- Output 3: Successfull implementation of low-carbon actions, low carbon tools in place, and relevant persons with increased knowledge in low carbon technology and initiatives.
- Output 4: Policy recommendations on incentive policies and regulations in place.
-
- Output 5: Pilots in hydrogen economy and carbon circular economy initiatives conducted.
- Output 6: Pilots in carbon capture and utilisation technologies conducted.

¹⁰ *The Green Mine Construction Specification of Coal Industry* (DZ/T 0315-2018) is an Industry standard for geology and mineral resources in the People’s Republic of China. The code was approved by National Land Resources Technical committee for standardization on April 18th 2018, issued and published on June 22nd 2018 and will come into effect on Oct 1st 2018. http://gi.mlr.gov.cn/201804/t20180418_1768058.html

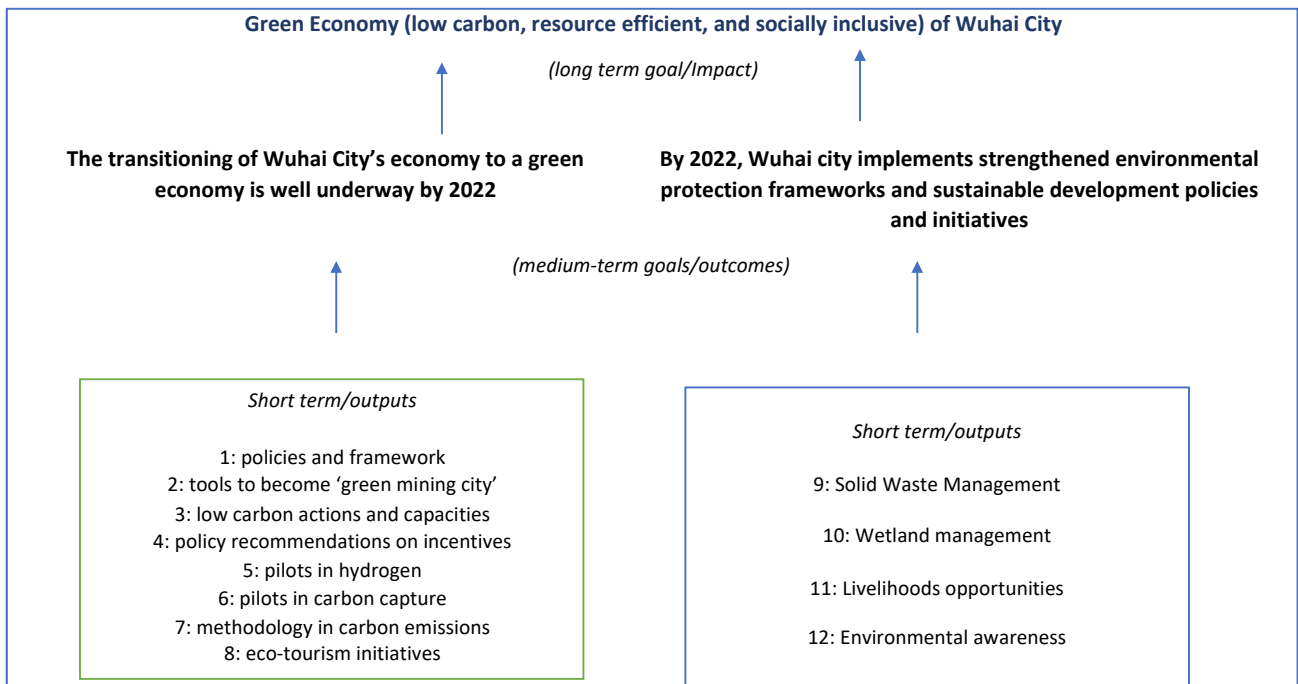
- Output 7: Methodology in carbon emission reduction by fuel cells application in transportation sector in place.
- Output 8: Eco-tourism initiatives in mining related areas in place and/or strengthened.

Expected Outcome 2: By 2022, Wuhai city implements strengthened environmental protection frameworks and sustainable development policies and initiatives.

- Output 9: Solid Waste Management (slag dumps) promoted and strengthened.
- Output 10: Capacity of Wuhai City in wetland management effectively strengthened.
- **indigenous people** Output 11: New livelihood business model researched and demonstrated, and livelihood opportunities for men and women indigenous people strengthened.
- Output 12: Capacity of Wuhan City in planning and implementing environment education and communications effectively strengthened.

Besides the above-mentioned outcomes, this project also includes a non-technical component of project management, monitoring and evaluation.

Simplified illustration of the results chain



Description of Outputs under Outcome 1: The transitioning of Wuhai City's economy to a green economy is well underway by 2022.

Output 1: Policies and management frameworks related to the development planning of Wuhai's production sectors strengthened

This output mainly support activities to provide technical assistance in the following areas: 1) To carry out baseline surveys and systematically evaluate the environmental conditions, development status and development potential of the mining industry in Wuhai; 2) To carry out case studies on best practices in environmental governance of domestic resource-exhausted (including but not limited to Shanxi, Shaanxi, Liaoning, Sichuan and Inner Mongolia)); 3) To carry out case studies on best practices in environmental governance of foreign resource-exhausted cities (including but not limited to Germany, the United States, South Africa, Central Asia, and Europe); 4) To put forward policy recommendations for sustainable development of Wuhai's mining and environmental remediation laws and regulations; 5)

To summarize the experiences of economic restructuring and upgrading of comprehensive environmental improvement in Wuhai in order to provide typical example for the sustainable development of domestic and oversea resource-exhausted cities.

Output 2: Wuhai City has the tools in place to become one of the first cities to be certified as a “green mining pilot” as per Chinese regulation

In conjunction with the requirement from “Notice on Launching Green Manufacturing System Construction” issued by General Office of the Ministry of Industry and Information Technology on actively carrying out “green factories”, “green products”, “green parks”, and other “green constructions”, and establishing “green” labels, the project will provide technical assistance in the following areas (project activities): 1) To carry out green construction advocacy and counseling in selected companies in coal mining, washing, coking, deep processing and other industries; 2) To carry out research of green mining¹¹; 3) To carry out research of coal mining subsidence area; 4) To prepare materials for the assessment and evaluation for application of “green” application company; and 5) To complete “green” application with the recommendation of local authorities (or industry associations).

Output 3: Successful implementation of low-carbon actions, low carbon tools in place, and relevant persons with increased knowledge in low carbon technology and initiatives.

Low-carbon development is a sustainable development model characterized by low energy consumption, low pollution, and low emissions, and is of great significance to sustainable development. Sustainable development is the inherent requirement of scientific development. Developing a low-carbon economy is conducive to the construction of a resource-saving and environment-friendly society. The project will provide technical assistance in the following areas (project activities): 1) Combining with the “Wuhai GHG Emission Inventory”, to investigate and understand the basic status and data level of energy consumption, pollution, and emissions in key local industries; 2) Combining with Wuhai's 13th Five-Year Plan, workshops and seminars for relevant industries will be organized and roadmaps in line with local development trends, models, and technologies will be formulated; 3) To prepare the Green Paper on Low Carbon Development in Wuhai; 4) According to the National Carbon Emission Trading Market Construction Plan, to carry out carbon trading capacity building and carbon management in key emission enterprises; 5) To launch special training for local low-carbon experts.

Output 4: Policy recommendations for formulating incentive policies and regulations in place.

To compile *Research report on Wuhai Green Carbon Financing* to correctly evaluate and use carbon assets. Through carbon financial products, the value of carbon assets will be demonstrated and promoted. This will help companies improve the financial management of carbon assets and use carbon assets for sustainable development. The project will provide technical assistance in the following areas (project activities): 1) To conduct research on local policies for energy conservation and emission reduction actions, especially financial policies and financial products; To discuss on carbon financing related policies, feasibility of product innovation, etc.; 2) To explore sustainable green carbon financing models; 3) To encourage research and development of policies and measures, such as tax policies and carbon trading policies; 4) Prepare Research report on Wuhai Green Carbon Financing.

Output 5: Pilots of hydrogen economy and carbon circular economy conducted.

The project will be providing technical support in the following areas (project activities are including but not limited to): 1) Conducting a feasibility study on the development of hydrogen energy

¹¹ Natural Resources Canada (NRC), defines “green mining” as “technologies, best practices and mine processes that are implemented as a means to reduce the environmental impacts associated with the extraction and processing of metals and minerals. Examples include the reduction of greenhouse gases, selective mining approaches to reduce the ecological footprint, and reduction in chemical use

economy in Wuhai City; establishing a technical roadmap for hydrogen energy economic development; 2) selecting one or two priority areas from the coal industry, chlor-alkali chemical industry, related fields of the application of fuel cells in public transportation, related fields of the addition of hydrogen to internal combustion engines (ICE), thermal power industry and related fields of hydrogen-adding coal-fired boiler in regional heating industry, etc. to conduct the experiment and demonstration of hydrogen energy economy; 3) analyzing and summarizing the technical roadmap for the development of the hydrogen energy economy in Wuhai City.

Output 6: Pilots on carbon circular economy, including carbon capture and utilisation conducted.

The objectives of this project are in accordance with the priority of the State Council on the issuance of the “13th Five-Year Plan” to control greenhouse gas emissions. The project will provide technical support in the following areas (project activities): 1) piloting coking, carbon capture and purification of the chlor-alkali chemical industry chain to promote industrial upgrading and transformation; 2) piloting hydrogen capture and purification in the chlor-alkali chemical industry chain; 3) exploring the potential of carbon trading by developing carbon dioxide and hydrogen acquisition and utilization methods.

Output 7: Methodology in carbon emission reduction by fuel cells application in transportation sector in place.

To develop fuel cell emission reduction methodology that is applicable to load-carrying vehicles of the project, to promote the conversion of emission reduction results and encourage enterprises to participate in the national carbon market. The project will be providing technical support in the following areas (project activates): 1) investigating on emission profile, parameters, relevant data, etc. of load-carrying vehicles; 2) researching on national, regional, industrial policies and requirements, etc. of load-carrying vehicles; 3) discussing on scientificity of methodology for fuel cell vehicle emission reduction; 4) developing methodology of fuel cells for transport emission reduction.

Output 8: Eco-tourism initiatives in mining related areas in place and/or strengthened.

Sustainable Development Plan of Resource-dependent Cities Nationwide (2013-2020) (Guo Fa [2013] No.45) issued by the State Council has categorized mining industry tourism and cultural industry creative clusters as two priority areas for resource-based cities to develop sustainable industries. According to the priority development policy on promoting tourism of Wuhai, Wuhai tourism development incentive measures, and Wuhai All-for-One Tourism General Plan, the project will provide technical assistance in the following areas (project activities): 1) To formulate and revamp industrial tourism plan of Wuhai, which will include resource-based industrial spaces such as mines in later stages and worked-out mines, to develop in-depth exploration for tourism and to development industrial tourism by establishing mining technology exhibition area, coal culture development area and mining recreation area, and etc.; 2) To provide technical assistance for the implementation of tourism planning in mountainous and lake areas, and to propose policies and technical recommendations for plan adjustment and improvement from the perspective of wetland conservation and habitat conservation of migrating birds; 3) To carry out reviewing on eco-tourism plan for alpine meadow areas and propose policies and technical recommendations for adjustment and improvement; and 4) In combination with the characteristics of Wuhai City resources, to establish and hold regularly festivals such as the "Wuhai City Birding Festivals", “Cistaceae Flower Festival", "Festival of Sails" and “Sand Culture Festival".

Description of Outputs under Outcome 2: By 2022, Wuhai city implements strengthened environmental protection frameworks and sustainable development policies and initiatives.

Output 9: Solid Waste Management (slag dumps) promoted and strengthened.

The project will provide technical assistance in the following areas (project activities): 1) To carry out the feasibility study on the formulation and support the publication of the *Dumping Site Plan*

for Wuhai Mining Areas; 2) To carry out environment governance planning in mining area; 3) To carry out demonstration project of dump site (slag mountain) comprehensive governance and planning for mining areas, and conclude and formulate replicable and propagable technical standard and cases, such as pilot photovoltaic power generation and/or vegetation restoration and recycled water utilization in slag mountains (parallel funding); 4) To procure equipment of mining rehabilitation (parallel funding); 5) To establish *Green Mining and Sustainable Mining Governance Summit* and held regularly; 6) To share sustainable mining governance experience at national and international levels; and 7) To improve mining area management regulation endorsed by local government by comparing with the *Managing mining for sustainable development - A Sourcebook* published by UNDP.

Output 10: Capacity of Wuhai City in wetland management effectively strengthened

The project will provide technical assistance in the following areas (project activities): 1) To investigate the management status quo of wetland in Wuhai and propose policy recommendations for the unified management of wetlands; 2) To establish and operate an inter-departmental coordination mechanism for wetland conservation in Wuhai; 3) To strengthen the management and monitoring capabilities of Longyouwan National Wetland Reserve; 4) To carry out dredging in Wuhai Lake and implement comprehensive environmental governance; 5) To conduct a baseline survey of water quality and sedimentation situation in Wuhai Lake to identify silt sources and sedimentation mechanism, and to research on the feasibility of sedimentation application as surface soil; and 6) To establish nature reserve network in Wuhai. indigenous people

Output 11: New livelihood business model researched and demonstrated, and livelihood opportunities for men and women indigenous people strengthened.

The project will provide technical assistance in the following areas: 1) To study the current business model of Wuhai and develop a recommendable business model; 2) To improve practice capabilities of indigenous people related to Wuhai Lake, ancient Camel Salt Road, and other eco-tourism activities in combination with eco-tourism; 3) To establish and operate *Wuhai Women's Development Fund* to increase the availability of local women's access to start-up capital (parallel funding), lay a foundation for women in local mining areas, and support women entrepreneurs in innovation and launching new businesses. The main indicators of this achievement include: 1) To prepare the *Research Report On Business Environment And Business Model* in Wuhai; 2) To support the continuous operation of *Women's Development Fund*, which supports women's entrepreneurship.

Output 12: Capacity of Wuhan City in planning and implementing environment education and communications effectively strengthened.

The project will provide technical assistance in the following areas (project activities): 1) To develop a five-year plan for environmental education in Wuhai; 2) To prepare training and education materials for different audiences; 3) To improve the arrangement of education plan and educational activities concentrating on public environmental education and awareness enhancement activities based on Longyouwan Wetland Reserve Education Center; 4) To develop a training plan for the Longyouwan Wetland Reserve Education; and 5) To Integrate the core information of environmental governance and sustainable development into the cultural and sports activities of Wuhai City, such as enterprise staff training, cultural and sports activities, mass sport competition, knowledge contests, and technical competitions. For destination marketing, the project may explore partnerships with other local governments/ companies in Inner Mongolia to create synergies. The project will also explore ways in which indigenous people may participate in contributing with their own visions of the future of their city.

3.3 Resources Required to Achieve the Expected Results

All major project partners, including UNDP, CICETE, the Wuhai Municipal Government and the Inner Mongolia Guangna Coal Industry Group Co. Ltd., will participate in project implementation and management, monitoring and evaluation and financial management. The government leaders and

leading departments of the Wuhai Municipal Government will participate in the work of the Project Steering Committee, including participation in annual Project Steering Committee meetings, consultation meetings and technical seminars, and provide policy and technical guidance as relevant.

The Wuhai Development and Reform Commission's "Project Coordination and Management Office" will be responsible for the project implementation management, including daily implementation and regular reporting. The Project Coordination and Management Office is led by the "National Project Director" (NPD), served by leadership of the Wuhai Municipal Government.

Under the Project Coordination and Management Office, a Project Implementation Office will be set up with participation of the related agencies in charge of development and reform, environment protection, wetland and wildlife conservation, women federation, tourism together with Inner Mongolia Guangna Coal Industry Group Co. Ltd. The Director of Project Implementation Office will be appointed by Wuhai Municipal Government.

A Chief Technical Advisor will be hired specifically for the Project to provide solid technical guidance.

To ensure mainstreaming of gender, mitigating of risks identified as per Section 3.6 and Annex 4, performing M&E activities, and development and compliance of Environmental and Social Management Framework (ESMF) and a Grievance Redress Mechanism (GRM), a M&E Task Force will be established with participation of UNDP, CICETE, Project Steering Committee member agencies, PCMO and PIO, and Knowledge Management & Safeguards Officer will be recruited to be responsible for functioning knowledge management, social and environmental safeguards related responsibilities.

3.4 Partnerships and Stakeholders Engagement

The project will involve close collaboration with a number of stakeholders, including municipal and local government departments, academic and research institutions (including universities and research institutes), non-governmental organizations, the private sector, other cities in the region or elsewhere with similar characteristics as Wuhai, communities and the public. The project may also explore international linkages and lessons learned to best deliver its expected results. The project design will also reflect relevant UNDP gender equality and women's empowerment practices and policies. In the project design phase, stakeholder relationships have been discussed and analysed in depth, and meetings have been held with municipal stakeholders and extensive consultations have been conducted. Identified key stakeholders will be involved in the project preparation and implementation. Mechanisms supporting stakeholder engagement are included in the project design. The project will seek to create synergies and build on past and ongoing projects within the UNDP China and global portfolios, including the Global Environment Facility (GEF), South South Collaboration, among others.

As a major partner responsible for project implementation, CICETE will work closely with the Project Steering Committee. Major stakeholders supporting and participating project implementation include the following departments or groups: Wuhai Development and Reform Commission, Wuhai Financial Bureau, the People's Bank Of China Wuhai Downtown Branch, Wuhai Industrial and Information Commissioner, Wuhai Natural Resources Management Bureau, Wuhai Ecological and Environmental Conservation Bureau, Wuhai Forestry and Grassland Management Bureau (National Park Management Bureau, Wetland Management Bureau), Wuhai Tourism Development Commission, Wuhai Children and Women Federation, Yellow River Hydraulic Project Management Bureau, local private departments, communities and non-governmental organizations.

Stakeholders and Responsibilities

Stakeholder	Responsibility related with project implementation
Wuhai Municipal Development and Reform Commission	<ul style="list-style-type: none"> - Provide lessons of other international and domestic projects (completed and ongoing projects); - Introduce project lessons to other international and domestic projects; - Support the implementation of recommendations and strategies proposed in government-invested projects; - Draft and promote regulatory policies and plans related to project objectives.
Wuhai Economic and Information Technology Committee	<ul style="list-style-type: none"> - Mainstream project results into land use planning; - Introduce project lessons to other international and domestic projects; - Support the implementation of recommendations and strategies raised in this project into government-invested projects.
People's Bank of China, Wuhai Central Sub-branch	<ul style="list-style-type: none"> - Mainstream project results into credit policies; - Introduce project lessons to other international and domestic projects; - Provide policy and technical support for implementing green finance projects and policy projects related to carbon finance.
Wuhai City Natural Resources Administration	<ul style="list-style-type: none"> - Plan land use; - Mainstream project results into land use planning; - Provide policy recommendations for unified planning for dumps and implement; - Introduce project lessons to other international and domestic projects; - Support the implementation of recommendations and strategies raised in this project into government-invested projects.
Wuhai Municipal Ecological and Environmental Protection Department	<ul style="list-style-type: none"> - Coordinate the work of nature reserves; - Draft and promote regulatory policies and plans related to project objectives; - Provide lessons learned from the projects implementation from the department and daily work; - Introduce project lessons to other international and domestic projects; - Support the implementation of recommendations and strategies presented raised in this project into government-invested projects.
Wuhai Municipal Forestry and Grassland Administration (National Park Administration, Wetland Administration)	<ul style="list-style-type: none"> - Coordinate among relevant departments to prepare and implement unified management of wetlands with policy recommendations and related plans; - Coordinate among relevant departments to implement the project promotion strategy; - Introduce project lessons to other international and domestic projects;

Stakeholder	Responsibility related with project implementation
	<ul style="list-style-type: none"> - Support the implementation of recommendations and strategies raised in this project into government-invested projects.
Wuhai Municipal Tourism Development Committee	<ul style="list-style-type: none"> - Lead the formulation of an ecotourism pilot plan; - Draft and promote regulatory policies and plans related to project objectives.
Yellow River Water Control Authority	<ul style="list-style-type: none"> - Provide policy and technical support to the project; - Introduce lessons and experiences of the project to other domestic and international projects; - Support the implementation of the recommendations and strategies proposed in this project in government-invested projects.
Wuhai Municipal Women's and Children's Federation	<ul style="list-style-type: none"> - Provide policy and technical support to the project; - Support the operation of the Women's Development Fund; - Introduce project lessons to other international and domestic projects; - Support the implementation of recommendations and strategies raised in this project into government-invested projects;
Management agencies in nature reserves	<ul style="list-style-type: none"> - All nature reserves in Wuhai City will participate in the project implementation; - Senior management and technical staff of the nature reserve will be involved in relevant planning and capacity enhancement activities.
Community and local resident groups	<ul style="list-style-type: none"> - Participate in project implementation.
Academic and scientific institutions	<ul style="list-style-type: none"> - Provide technical support; - May become a work contractor.
Media	<ul style="list-style-type: none"> - Partners in disseminating project results; - Help promote public's awareness on environment and sustainability.

3.5 Assumptions

The key assumptions of the project's theory of change include: 1) China's policies continue to support environmental sustainability, restoration and protection of key ecosystems, and transformational economic development of resource-based cities; 2) Public demand for improved environmental quality remains strong; 3) The government's budget support for the above priority objectives will remain at least at the current level; 4) The participating institutions will continue to contribute to achieve satisfactory project results; 5) Inner Mongolia Guangna Coal Industry Group Co., Ltd. has continuous ability to provide financial support for the project.

All of these assumptions have been analysed during the project design phase.

3.6 Risks

According to the theory of change and the experience from similar projects, identification and analysis shows the project will mainly face the following risks:

Project Risk and Mitigation Measures¹²

#	Description	Date identified	Type	Impact and Probability	Countermeasures/ Management Response
1	Project partners have some misunderstandings in the use of private-sector funds in the form of projects to influence policy reforms and adjustments in the area of public policy.	10/MAY/2018	<i>Political risk</i>	P = 4 I = 2 P × I = 8	<ul style="list-style-type: none"> - Make full use of the project start-up preparation and start-up seminars, explain the project strategy and partnership to all partners, deepen understanding and eliminate misunderstandings; - Observe the relevant principles of public policy, strengthen the monitoring of the use of funds and direction of the project, and publicize the positive role of public-private partnerships in promoting fair policies and private sector development.
2	Insufficient project resources and reduced interest in industry sector involvement, which in turn affects the achievement of expected results.	10/MAY/2018	<i>Implementation risk</i>	P = 2 I = 5 P × I = 10	<ul style="list-style-type: none"> - Explore expanded partnerships, promote project cooperation mechanisms to the municipal government level, ensure the inclusiveness and openness of the cooperation platform, and attract more resources, including from the private sector, foundations and other civil society groups. - Taking the strategic goals of the project as the guideline, gradually establish synergies with the main areas of the city's scientific and technological innovation funds and corporate R&D funds, integrate resources, and jointly promote the development of related fields.
3	The industry involved in the project is wide and the policy process is slow, causing the project to have an expected delay.	10/MAY/2018	<i>Implementation risk</i>	P = 2 I = 5 P × I = 10	<ul style="list-style-type: none"> - Optimize the functions of the Project Steering Committee and establish strong communication with the Municipal People's Congress Population and Environmental Protection Committee; - Organize policy consultation meetings with relevant industries and departments to inform about project results, to understand policy processes, and to strengthen coordination between project strategy and policy priorities and implementation.
4	Project management capabilities are not adequate, resulting in lags in project implementation and expected achievement delay, even may not achieve expected results.	10/MAY/2018	<i>Implementation risk</i>	P = 2 I = 5 P × I = 10	<ul style="list-style-type: none"> - Continuous project management capacity development for Project Coordination and Management Office and Implementation Office; - Optimize the functions of the Project Steering Committee, establish a project technical advisory committee, and strengthen the technical support for the project.
5	Reputation risk to the UNDP due to partner misuse of the project brand for profit or other purposes	10/MAY/2018	<i>Other risk</i>	P = 3 I = 4 P × I = 12	<ul style="list-style-type: none"> - Strictly execute UN due diligence and branding requirements to mitigate potential risks, including an updated risk matrix and a comprehensive communication package; - Maintain regular communication and engagement with partners to ensure project implementation complies with all UNDP rules and regulations.
6	Risks related to environmental awareness among implementing partners and stakeholders.	29/Aug/2018	<i>Environmental risk</i>	P = 3 I = 4 P × I = 12	<ul style="list-style-type: none"> - The project will address this risk by developing and implementing a five-year plan for improving environmental awareness and sustainability awareness: 1) Target group: The target group for education and advocacy will include township and village committee officials, company managers, primary and secondary

¹² For extended list of project risks and mitigation measures, please refer to Annex 4 in this Project Document.

					school students and local villagers. Educational promotion methods and content will be specifically designed for each target group; 2) Incorporating legal requirements related with environmental protection into education and promotion programs; 3) Listening to public opinions, and incorporating indigenous people' opinions into the design and implementation of education and promotion activities; 4) Environmental education and awareness activities will be closely integrated with the government and the livelihood improvement activities funded by the project. Additionally, ensure adequate technical support through all project activities.
7	General reputational risks associated with engaging the mining sector. The mining sector has been identified as a high-risk sector according to the UNDP due diligence policy.	29/Aug/ 2018	<i>Reputational/ partner risk</i>	P = 3 I = 4 P × I = 12	- Mining Sector is a high-risk sector. However, the programmatic focus of the project is on transformation to clean energy. Furthermore, it adheres to the UNDP policies on working with the mining sector. These includes 1) Mapping Mining to the Sustainable Development Goals; 2) Managing Mining for Sustainable Development, a Source Book; and 3) A Guide for Governments and Partners to Integrate Environment and Human Rights into the Governance of the Mining Sector ¹³ . The project is consistent with these documents in design and implementation. In addition, the benefits of this partnership outweighs the risks. The proposed partnership will be an opportunity for UNDP to affect structural transformation by assisting in tackling environmental and social problems of the mining sectors, and targeting to transform Wuhai's energy-intensive, heavy-polluting, coal-dependent economic model into a sustainable one. These programmatic focus and implementation in itself is a big deterrence of any negative connotations of engaging with the mining sector.
8	Post-facto direct or indirect reputational issues that may be faced by the mining company in particular, or the sector, both of which can harm UNDP reputation by association.	29/Aug/ 2018	<i>Reputational/ partner risk</i>	P = 3 I = 4 P × I = 12	- This risk has been addressed. Two rounds of Due Diligence have been strictly carried out to identify previous controversies. No noticeable issues have been identified. Regarding environmental issues, the company has carried out a number of measures to cope with the problems and their positive accomplishment and has been confirmed and endorsed by the local government in written materials. The company's policies on these issues have been reviewed as per the due diligence process.
9	Reputational issues related to labour rights, and grievance redress related to the mining sector in Wuhai Citu or the company.	29/Aug/ 2018	<i>Reputational/ partner risk</i>	P = 3 I = 4 P × I = 12	- The existing grievance redress and social environmental standards and polices of the company was reviewed. The 2018 Guangna Work Plan emphasizes "workers wellbeing" as one of their priorities. This includes education and skills training, health condition of the employees which entails weekly physical examination, etc. Moreover, the work plan also puts special emphasis on its internal governance system, which allows for workers to escalate grievances including safety issues to management. - During the implementation stage, the annual meetings will reiterate and guarantee the labour rights protection and grievance reporting mechanism in the Annual Work Plan. An internal policy and coordination mechanism is suggested to be established in company to further promote the protection of labour rights. The function of labour unions will be strengthened to safeguard the smooth operation of the grievance report mechanism.
10	Negative media coverage on the mining/private sector both verified and unverified.	29/Aug/ 2018	<i>Reputational/ partner risk</i>	P = 3 I = 4 P × I = 12	- An internal public communication strategy will be developed. This will have a Q and A, and as well as key messages for management and key stakeholders. - In case of negative media coverage, the Project Coordination and Management

¹³ <http://www.undp.org/content/undp/en/home/librarypage/poverty-reduction/environmental-governance/extracting-good-practices--a-guide-for-governments-and-partners-.html>

					Office and the Project Implementation Office together with UNDP Communications will first identify the authenticity of the media coverage. For unverified negative media coverage, the private sector, the local government and UNDP China will jointly issue communication materials to address issues. For verified issues, the Project Implementation Office will report to the Project Coordination and Management Office first, and then collaborate with the company and local government to carry out mitigation and remediation measures. If very serious then other triggers could be identified with the Steering Committee.
11	Unanticipated legal challenges on the company or sector on issues ranging from land rights/local population related rights issues etc.	29/Aug/ 2018	<i>Regulatory Risk</i>	P = 2 I = 4 P × I = 8	<ul style="list-style-type: none"> - During the due diligence process, it was identified that the Code for treatment of mine Dump, which was adopted by the Wuhai Municipal People's Government for the sector, was initiated and drafted by the Guangna Group. The code emphasizes the need for information to be collected, regarding residence of the indigenous people, nature reserves, cultural heritages, traffic infrastructures, geological environment, local geography as well as the social economy and the land utilization, before starting operations. - The company also reiterates as key business principles its commitment to promoting green mining construction; protection of residents and heritage sites; and the neighbourhood environment surrounding the mining in its drafted Code for Treatment of Mine Dump. - The government and Project Coordination and Management Office will ensure the legal process of acquiring land usage rights if needed. The company has established relatively great relationship with local community and it is suggested to maintain and strengthen this relationship. - In addition, a communication mechanism is suggested to establish to receive grievances and concerns from the general publics and to report to the Project Coordination and Management Office should any issues rise.
12	Agreed funding not received according to the Annual Work Plan	29/Aug/ 2018	<i>Financial Risk</i>	P = 4 I = 3 P × I = 12	<ul style="list-style-type: none"> - The Annual Work Plan will be formulated jointly by UNDP, CICETE, the local government, private sector and Project Coordination and Management Office, to ensure that the required funds will be received by specific deadlines. - For Government Cost-Sharing funding, the local government will maintain communication with the private sector to ensure that the money will be provided in time and the government will maintain communications with UNDP to report on any potential issues identified. - Annual Financial Report will be required to be provided to UNDP and Project Coordination and Management Office to ensure the stable cash flow of the private sector. - In addition, specific funds from the private and government side are strongly required to be reserved for project implementation.
13	Inadequate coordination among agencies. The lack of coordination mechanisms among participating sectors limits the effectiveness of human and financial resources and reduces the efficiency of the policy process and the impact of project outcomes.	29/Aug/ 2018	<i>Organizational Risk</i>	P = 2 I = 4 P × I = 8	<ul style="list-style-type: none"> - The project will set up Project Coordination and Management Office in the Municipal Development and Reform Commission and set up Project Implementation Office in Guangna Group. The Project Steering Committee is led by the Wuhai Municipal Government and is composed of representatives from relevant business departments and representatives of UNDP and CICETE. The committee is responsible for reviewing project progress, approving the Annual Work Plan, and reviewing quality of the project results. Once the Annual Work Plan and budget are formally approved, the Project Coordination and Management Office and the Implementation Office shall ensure full coordination and cooperation among all units. The comprehensive department

					designated by the Wuhai Municipal Government is responsible for ensuring the smooth implementation of the project plan, timely discovering and handling problems of implementation. In the long run, the strategy, institutional setup and public awareness campaigns adopted by the project will promote the sustainability of the project approach
14	The process of policy formulation and adoption could be slow. The adoption process of project-related policy recommendations is slow and may reduce the efficiency of policies and planning due to poor economic development planning.	29/Aug/ 2018	Operational Risk	P = 3 I = 3 P × I = 9	- This risk has been addressed in the project design. Specifically, through targeted design of policy interventions, alignment of relevant activities with policy priorities, and joint implementation of projects, project-related inputs' alliance with policies and plans of each department are ensured. In addition, the project targets at a large number of capacity building and public awareness campaigns for key policy makers and the public, with a particular focus on policy reforms including field trips, which will accelerate the adoption and implementation of policies in Wuhai and district level. At the same time, the project will also support relevant research and activities, as well as follow-up analysis of relevant policy capacity enhancement activities and effects through corresponding capacity building tracking and evaluation tools.
15	Major economic sectors may not be adequately prioritizing economic transformation of the resource-based city and its environmental governance.	29/Aug/ 2018	<i>Political Risk</i>	P = 2 I = 4 P × I = 8	- This risk has been addressed in the project design. At the design stage, through consultation with the Wuhai City Development and Reform Commission, the Natural Resources Administration, the Tourism Development Committee, the Forestry and Prairie Administration, and the Yellow River Water Control Administration, cooperation opportunities with these sectors have been identified, which is precisely the basic requirement for the mainstreaming of environmental protection. In addition, mainstreaming environmental protection into development planning is fully in line with current government policy priorities and is strongly supported by current government policies. Finally, the project design also includes the time phases and time schedules related to industry planning and special sectors' planning revisions, which provides favourable conditions and opportunities to them.

3.7 Assessment of Partnerships

The project will be conducted through national implementation modality (NIM). UNDP and CICETE have more than 30 years of experience in cooperation in the field of sustainable development in China, and have established robust national implementation modes as well as corresponding rules and regulations. This will provide an effective institutional guarantee for the smooth, effective and compliant implementation of the project, and with referential experience for Wuhai City to implement international cooperation projects. Based on the above analysis, the partnership of the project is perceived by both parties as solid.

3.8 Knowledge Sharing and Best Practices

The project will include a number of policy research products, human resource planning, case analysis, capacity enhancement, and lessons learned reports, with strong features of “evidence-based policy intervention” and “evidence-based knowledge management”. In the implementation process, provincial and national international platforms for policy advocacy and knowledge sharing activities are also used. All of these project activities will generate a large amount of data and case studies that will be adequately disseminated to relevant parties, both domestically and internationally as relevant.

The project will systematically collect, collate and analyse successful experiences and best practices by knowledge management methods, and regularly publish relevant topics, briefings and technical reports in conjunction with national, autonomous and municipal policy processes to share projects outcomes on a larger scale. In addition, the project will share knowledge and best practices through multiple channels, including online and offline tools.

3.9 Sustainability and Scaling up

The project gives priority to the long-term sustainability of the project outcomes. In order to ensure the project's response to the latest technological advances and policy thinking and practices, the project will remain open to potential partners, including academia, stakeholders from the private sector, charitable foundations, and civil society groups. Such an arrangement will enhance the relevance and sustainability of the project, and lay the foundation for expanding the partnership, integrating project resources and expanding the scope of the project.

Knowledge creation and sharing will be the essence of this project. Based on the implementation process of the project, as well as the relevant stages of policy introduction and implementation, the project results and a series of special research reports will be regularly published to provide referential experience and technical knowledge for relevant departments and other regions in Wuhai and beyond. As the project's design and implementation are closely related and highly consistent with the relevant policies, the project outcomes will remain within the framework of the project partners and be internalized within the current system. The project's outcomes in greenhouse gas emissions, mine management, dump site planning and remediation, and integrated wetland management will be incorporated into government-led multi-sector planning, which will allow project outcomes' impacts to continue beyond the project cycle to create positive impact on people's lives.

The financial sustainability of the project outcomes does not raise a significant risk. At present, the financial resources in the field of environmental governance and promotion of sustainable development are constantly increasing in China and the Inner Mongolia Autonomous Region, and it is expected that the financial resources in this area will continue to increase in the foreseeable future. During the implementation of the project, the Project Coordination and Management Office and Executive Office will establish communication channels and platforms between key stakeholders, and build partnership with the urban comprehensive functional departments and industry authorities to lay a broader and more solid foundation for environmental governance and restoration in the future. One of the key outcomes is to improve the financial sustainability of environmental governance and restoration

measures. In addition to ensuring capacity building and the financial resources needed to effectively implement the various programs and activities, the project design is also very cost-effective. Compared with environmental governance and rehabilitation projects based on a single engineering approach, the mainstreaming approach adopted by the project, which is intended to enhance the capacity of government departments' policies and planning processes and to form replicable and scalable affordable solutions based on demonstrations, is found to be beneficial to achieve the goals of achieving environmental governance and sustainable development goals. In this sense, the project has a high cost-benefit ratio.

In addition, the project design approach is conducive to involve community and private sector in environmental governance and rehabilitation. By improving collaboration between sectors and stabilizing engagement of community and private sector, project outcomes is hoped to be more sustainable.

3.10 Communications of Results

The project has incorporated public awareness, advocacy and “mainstreaming” into its project design. The project will deepen the understanding of the importance of environmental sustainability to policy makers (government and enterprise level) and the publics through the following methods: 1) Supporting the preparation and implementation of Wuhai 's Four-Year comprehensive environmental education plan; 2) Supporting improvement and strengthening of Longyouwan National Wetland Park Mission Center's function; and 3) Establishing the *Green Mining and Sustainable Mining Governance Summit* and held regularly. These three outputs are not only the main method to support the project information dissemination, but also the main method to support the dissemination of relevant information on environmental sustainability and sustainable development in Wuhai City. In addition, they also serve as a important method to share the policy and practice experience on green mining and sustainable mining area treatment of this project on a broader scale.

The project will also make full use of the current partners and new communication platform to communicate with stakeholders, including: 1) UNDP website; 2) CICETE website; 3) Wuhai Municipal Government website 4) Inner Mongolia Guangna Coal Industry Group Co., Ltd. website; 5) briefings, special reports, internal reports, reports, announcements, and social medias such as WeChat and Weibo.

IV. PROJECT MANAGEMENT

The main activities of project management include: project planning, implementation, management, monitoring and evaluation, annual audit and project information publicity and communication, as well as knowledge sharing. Besides National Project Director, project management and implementation staff also includes Project Manager, Knowledge Management and Safeguard Officer, Financial Officer, Information and Publicity Officer, and a M&E task force (M&E, gender mainstreaming, and development and and compliance of Enviromental and Social Management Framework (ESMF) and a Grievance Redress Mechanism (GRM) development).

The Project Coordination and Management Office of this project will be hosted by the Wuhai Development and Reform Commission as part of the Wuhai Government. A Project Implementation Office will be established in Wuhai to ensure smooth implementation of relevant project activities with participation of the related agencies in charge of development and reform, environment protection, wetland and wildlife conservation, women federation, tourism together with Inner Mongolia Guangna Coal Industry Group Co. Ltd. The Director of Project Implementation Office will be a senior officer designated by Wuhai Municipal Government. The Project Coordination and Management Office has the overall responsibility for the implementation and management of the project, in addition to the above-mentioned conventional project management activities, the Project Coordination and Management Office and the Project Implementation Office will be responsible for different project activities as outlined in the work plan, with clear roles and accountabilities.

V. RESULTS FRAMEWORK

Contribution to the Sustainable Development Goals (SDGs):

- **Goal 3:** Ensure healthy lives and promote well-being for all at all ages
- **Goal 5:** Achieving gender equality and empowerment of all women and girls
- **Goal 7:** Ensure access to affordable, reliable, sustainable and modern energy for all
- **Goal 9:** Build resilient infrastructure, promote sustainable industrialization and foster innovation
- **Goal 13:** Take urgent action to combat climate change and its impacts
- **Goal 15:** Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss

Contribution to the Outcomes of United Nations Development Assistance Framework for the People's Republic of China (2016-2020)

- **Outcome 2:** More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth

Contribution to the outcomes of UNDP Country Programme Document for China (2016-2020)

- **Outcome 2:** More people enjoy a cleaner, healthier environment as a result of improved environmental protection and sustainable green growth.
- **Output 2.1:** China's actions on climate change mitigation, biodiversity and chemicals across sectors are scaled up, funded and implemented.

Performance indicators:

1) The number of policies and programs that incorporate best practices in environmental governance, low-carbon development, sustainable mine management, and ecosystem services; 2) The number of economic, supervision, and incentive measures in policies and development plans in order to promote environmental governance, low-carbon development, sustainable mine management, and ecosystem services mainstreaming; 3) Expanded area of protected ecological landscape (km²); 4) The number of consolidated plans for strengthening the rehabilitation of the ecological environment in the mining area and for dumping sites; 5) The environmental risk management model for the goaf and mining areas; 6) An summary/ case study of the management experience of a dumping site (slag dump); 7) Wuhai City Hydrogen Energy Development Plan for 2018-2022; 8) Wuhai City Roadmap for Hydrogen Energy Development; 9) Fuel Cell Emission Reduction Methodology for Trucks; 10) Green and sustainable industrial development model based on mining industrial tourism, Yellow River wetland, desert tourism and cultural industry creative clusters; 11) Policy recommendations of unified wetland management to Wuhai City; 12) The establishment of inter-departmental coordination mechanism for wetland protection in Wuhai City; 13) Wuhai Four-year Environment Education Plan; 14) Training and education materials for different target audiences; 15) Well-developed Longyouwan Wetland Conservation Educational Center capable of giving full play to the education function; 16) Training program in Longyouwan Wetlands Education Centre.

Project Title: United Nations Development Programme – People's Republic of China - Environmental Governance and Sustainable Development of Wuhai, Inner Mongolia Autonomous Region **Atlas Project Number: 109848**

Expected Outputs	Output Indicators	Data Source	Baseline		Targets					Data Collection Methods
			Value	2017	2018/19	2020	2021	2022	Final	
Output 1: Policies and management frameworks related to the development planning of Wuhai's production sectors strengthened	1.1. One Baseline Research Report on Environmental Condition and Mining Industry Development Situation and Potentials	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1				1	Annual and periodical Technical Assistance Report
	1.2. 5 Research Reports on the best practices of Environment Governance of Domestic Resource-exhausted cities (Shanxi, Shaanxi, Liaoning, Sichuan and Inner Mongolia)	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	2	3			5	Annual and periodical Technical Assistance Report
	1.3. 5 Research Reports on the best practices of Environment Governance of Abroad Resource-exhausted cities (Germany, USA, South Africa, Central Asia and Europe)	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	2	3			5	Annual and periodical Technical Assistance Report
	1.4. 4 policy recommendations on mining, environment remediation and sustainable development of Wuhai	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1	1	1		3	Annual and periodical Technical Assistance Report
	1.5. 2 typical report on environmental comprehensive Governance and economic transformation of Wuhai	Technical Assistance Report	0	2017			1	1	2	Annual Report, Government Document and periodical Technical Assistance Report
Output 2: Wuhai city has the tools in place to become one of the first cities to be certified as a "green mining pilot"	2.1. At least 250 persons with increased knowledge on Green Construction (Coal mining, washing, coking, deep processing), at least 35% women.	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	5	6	4	3	17	Annual and periodical Technical Assistance Report
	2.2. Existence of status of green mining technical report	Technical Assistance Report	0	2017	1				1	Annual and periodical Technical Assistance Report
	2.3. Existence of a research report on coal mining subsidence area	Technical Assistance Report	0	2017	1				1	Annual and periodical Technical Assistance Report

	2.4. Existence of a Technical Assistance Report on the application of “Green Park”	Technical Assistance Report	0	2017	1	1	1		3	Annual and periodical Technical Assistance Report
Output 3: Successful implementation of low-carbon actions, low carbon tools in place, and relevant persons with increased knowledge in low carbon technology and initiatives	3.1. 1 Investigation and Research Report on energy consumption, pollution and emission of key industries in Wuhai	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1			1	Annual and periodical Technical Assistance Report
	3.2. At least 20 persons with increased knowledge on low carbon development (4 workshops on Low-carbon development and Technical Route of Wuhai)	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1	1	1	1	4	Annual and periodical Technical Assistance Report
	3.3 1 Wuhai Low-carbon development Green Book	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1			1	Annual and periodical Technical Assistance Report
	3.4 At least 5 staff selected among 7 key emission enterprises with increased knowledge on Carbon trading and carbon management	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	3	2	2		7	Annual and periodical Technical Assistance Report
	3.5 At least 3 local low-carbon experts with increased knowledge (at least one woman)	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	3	3	3	3	3	Annual and periodical Technical Assistance Report
Output 4: Policy recommendations for formulating incentive policies and regulations in place	4.1. 1 investigation and research report on energy-saving and emission reduction policies and action plans of Wuhai (Financial Policies, Financing Products, Carbon Financing Policies, innovation feasibility of Carbon Financing products)	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017			1		1	Annual Report, Government Document and periodical Technical Assistance Report
	4.2 1 Research Report on Wuhai sustainable and green financing model	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1			1	Annual Report, Government Document and periodical Technical Assistance Report

	4.3 1 Research Report on green carbon financing development encouragement policies and measures of Wuhai	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017			1		1	Annual Report, Government Document and periodical Technical Assistance Report
	4.4 1 Wuhai Green Carbon Financing Research Report	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017			1		1	Annual Report, Government Document and periodical Technical Assistance Report
Output 5: Pilots of hydrogen economy and carbon circular economy conducted	5.1 1 feasibility research report on the development of hydrogen energy economy in Wuhai City	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1				1	Annual and periodical Technical Assistance Report
	5.2 Technical roadmap for hydrogen energy economic development in Wuhai City	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017				1	1	Annual and periodical Technical Assistance Report
	5.3 1-2 Summaries of demonstration experience on Hydrogen economy in priority areas	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1	1		2	Annual and periodical Technical Assistance Report
Output 6: Pilots on carbon circular economy, including carbon capture and utilisation conducted	6.1 Pilot of Carbon capture and Purification of coal coking industry and chlor-alkali industry in Wuhai	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1	1	1	1	1	Annual and periodical Technical Assistance Report
	6.2. Pilot of hydrogen capture and Purification of chlor-alkali industry in Wuhai	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1	1	1	1	4	Annual and periodical Technical Assistance Report
Output 7: Methodology in carbon emission reduction by fuel cells application in	7.1 1 Investigation and Research Report on emission of heavy-loaded vehicles in Wuhai	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1				1	Annual and periodical Technical Assistance Report

transportation sector in place	7.2. 1 Investigation and Research Report on National, Local and Industrial policies	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1			1	Annual and periodical Technical Assistance Report
	7.3 3 workshops on Carbon emission reduction Methodology of Fuel Cell application in heavy-loaded vehicles	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1	1	1		1	Annual and periodical Technical Assistance Report
	7.4 1 Research Report about Carbon emission reduction Methodology of Fuel Cell application in transportation	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017			1		1	Annual and periodical Technical Assistance Report
Output 8: Eco-tourism initiatives in place and/or strengthened	8.1. Provide technical assistance for formulation and amendment for Wuhai Industrial Tourism Plan.	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	To be improved	2017	1				1	Annual Report, Government Document and periodical Technical Assistance Report
	8.2 2 policy and technical suggestion for the adjustment and improvement of the neighbourhood of mountain and lake areas	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	To be improved	2017	1	1			2	Annual Report, Government Document and periodical Technical Assistance Report
	8.3 In combination with the characteristics of Wuhai City resources, establishing and holding regularly festivals such as the "Wuhai City Birding Festivals", "Cistaceae Flower Festival", "Festival of Sails" and "Sand Culture Festival".	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	2	2	2	2	8	Annual Report, Government Document and periodical Technical Assistance Report
	8.4 2 policy and technical suggestion for developing eco-tourism in alpine meadow areas in Wuhai 8.5 Number of indigenous people of Wuhai employed as a consequence of the eco-tourism initiatives (sex disaggregated)	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	To be improved	2017	1	1			2	Annual Report, Government Document and periodical Technical Assistance Report

Output 9: Solid waste management in mining areas (slag dumps) promoted and strengthened	9.1. 1 Feasibility Study Report on Dump Site Overall Planning of Wuhai	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1				1	Annual Report, Government Document and periodical Technical Assistance Report
	9.2 Dumping Site Plan for Wuhai Mining Areas	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1			1	Annual Report, Government Document and periodical Technical Assistance Report
	9.3 1 Wuhai Environmental Governance Plan for mining areas	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1				1	Annual Report, Government Document and periodical Technical Assistance Report
	9.3 2 Case study on Comprehensive Governance and Sustainable utilisation of dump sites (slag dumps) in mining area of Wuhai	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1	1		2	Annual Report, Government Document and periodical Technical Assistance Report
	9.4 1 Green Mining and Sustainable Mining Governance Summit	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1	1	1	1	4	Annual Report, Government Document and periodical Technical Assistance Report
	9.4 1 Wuhai Sustainable Mining Management Plan	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017			1		1	Annual Report, Government Document and periodical Technical Assistance Report
Output 10: Capacity of Wuhai City in wetland management effectively strengthened	10.1 2 policy recommendations on unified wetland conservation in Wuhai	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1	1			2	Annual Report, Government Document and periodical Technical Assistance Report
	10.2 Wuhai inter-departmental wetland conservation coordination mechanism designing report	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1				1	Annual Report, Government Document and periodical Technical Assistance Report

	10.3 1 Management and monitoring capacity building plan for Longyouwan National wetland reserve	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1				1	Annual Report, Government Document and periodical Technical Assistance Report
	10.4 Existence of Technical Assistance Report to the dredging of Wuhai Lake	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	To be improved	2017	1	1	1		3	Annual Report, Government Document and periodical Technical Assistance Report
	10.5 1 Baseline investigation report on the water quality and sedimentation condition of Wuhai Lake	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1				1	Annual Report, Government Document and periodical Technical Assistance Report
	10.6 2 Policy Recommendations on establishing natural reserve networks in Wuhai	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	1	1			2	Annual Report, Government Document and periodical Technical Assistance Report
Output 11: New business model for Wuhai residents researched and demonstrated, and livelihood opportunities increased for men and women indigenous people	11.1 1 Investigation and Research Report on Wuhai Business model	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1			1	Annual Report, Government Document and periodical Technical Assistance Report
	11.2 At least 100 persons re- or up-skilled (Wuhai Lake and Ancient Camel Salt Road), at least 50% women.	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	4	3	3	2	12	Annual and periodical Technical Assistance Report
	11.3 Existence of a well-functioning Wuhai Women Development Fund (WDF) 11.4. Number of Women accessing funds through the WDF.	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	50	100	150	200	400	Annual Report, Government Document and periodical Technical Assistance Report
Output 12: Capacity of Wuhan City in planning and implementing environment	12.1 1 Wuhai Environmental Education Plan (2019-2022)	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1			1	Annual Report, Government Document and periodical Technical Assistance Report

education and communications effectively strengthened	12.2 17 kinds of educational and training materials developed for different audiences	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	6	6	5		17	Annual and periodical Technical Assistance Report
	12.3 training plans for Longyouwan Wetland Reserve Education Center	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1			1	Annual and periodical Technical Assistance Report
	12.4 1 training plan for Longyouwan Wetland Reserve Education Center	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017		1			1	Annual and periodical Technical Assistance Report
	12.5 “Integration Report” that illustrates how i sustainable development (emphasis on environmental sustainability) into the cultural and sports activities of Wuhai City, such as enterprise staff training, cultural and sports activities, mass sport competition, knowledge contests, and technical competitions.	Project Coordination and Management Office Document, Project Implementation Office Report, Technical Assistance Report	0	2017	3	4	4	4	15	Annual and periodical Technical Assistance Report

VI. MONITORING AND EVALUATION

The project will carry out project monitoring and evaluation according to UNDP's standard procedures of monitoring, assessment and evaluation. Monitoring and evaluation are based on the expected results listed in the project results framework, the output indicators, and the multi-year work plan of the project, which are the basis for monitoring and evaluating the progress of project implementation and the achievement of project achievements. During the project start-up workshop, these indicators will be reviewed according to the changes of external environment of the project. Based on the review, it will be decided whether these indicators and the monitoring and evaluation plan need to be modified. The Wuhai Project Coordination and Management Office is responsible for the daily monitoring and periodic evaluation of the project while a M&E task force (M&E, gender mainstreaming, and development and and compliance of Enviromental and Social Management Framework (ESMF) and a Grievance Redress Mechanism (GRM) development) will be establised (refer to Annex 12: TOR for the M&E Task Force). A Kknowledge Maagement & Safeguards Officer will be recruited to be responsilable for implementing knowledge managemet, social and enviornnemnt safeguards related activities.

6.1 Monitoring Plan

In order to ensure that the strategic direction of the project and the achievement of the expected results are in line with the design of the project, the Wuhai Project Coordination and Management Office will regularly check the implementation in cooperation with the Project Implementation Office. If the implementation of the project is off track or encounters resistance, the Wuhai Municipal Project Coordination and Management Office will promptly report the situation to CICETE and UNDP so that timely remedial measures can be taken.

Monitoring and Evaluation activities	Aims	Frequency	Expected action	Partner	(US\$) Fee
Monitoring project implementation process	To collect and analyse the progress data of outcome indicators listed in the results and resource frameworks to assess progress in achieving project outputs.	Quarterly	If the progress is slower than expected, the PCMO will take measures to accelerate the progress.	Project Coordination and Management Office, Project Implementation Office, Wuhai Municipal People's Government, and Chief Technical Advisor	26,000
M&E for risk	To Use risk log and other tools to identify specific risks that may affect the achievement of expected results and monitor the implementation of risk management measures. Manage financial risk through auditing.	Update risk log annually	The Project Coordination and Management Office identifies the risks and takes action to manage the risks. The risk log is updated timely to track the identified risks and measures taken	Project Coordination and Management Office, Project Implementation Office, Wuhai Municipal People's Government, and Chief Technical Advisor	3,700

Monitoring and Evaluation activities	Aims	Frequency	Expected action	Partner	(US\$) Fee
M&E for project quality, development/compliance of ESMF, GRM, gender mainstreaming and risk management.	According to the quality standards of UNDP, the quality of the project will be evaluated, the strengths and weaknesses of the project will be identified, information will be provided for management decisions, and the quality of project implementation is improved, bringing better quality for the project implementation)	Mid-term evaluation and final assessment (completion inspection)	The project management department evaluates the strengths and weaknesses of the project and provides decision-making basis for improving project performance.	Project Coordination and Management Office, Project Implementation Office, and Chief Technical Advisor	47,700
Baseline assessment and project progress report	The Project Office will submit a progress report in accordance with the requirements of UNDP, including 1) progress data reflecting the degree of realization of output indicators; 2) annual project quality assessment; 3) risk log update and risk management and control measures taken by the project, and 4) other assessments or review reports prepared during the reporting period.	Quarterly, half-yearly and annual		Project Coordination and Management Office, Project Implementation Office, and Chief Technical Advisor	32,000
Project Review	The project will conduct regular performance evaluation and review the multi-year work plan to ensure that the project budget arrangement on track according to the actual situation. The project completion inspection (final assessment) will be carried out in the final year of the project, summarizing the project's experience and lessons learned, and discussing the arrangements for the promotion of the project's results in order to maximize the project results.	Annually	For identified issues such as quality or delayed schedules, the project management group should develop solutions in a timely manner, determine the implementation plan, and effectively solve problems.	Project Coordination and Management Office, Project Implementation Office, Wuhai Municipal People's Government, and Chief Technical Advisor	30,000

Monitoring and Evaluation activities	Aims	Frequency	Expected action	Partner	(US\$) Fee
Field trips	Keep the overall implementation progress under control, investigate specific issues, help find ways to solve the problem, and understand the drafting progress of the progress report.	Biannually	UNDP's participation in field trips twice a year.	Project Coordination and Management Office, Project Implementation Office, Wuhai Municipal People's Government, and Chief Technical Advisor	8,000

6.2 Evaluation Plan

The mid-term evaluation will take place in the 30th month after start of the project.

The mid-term evaluation will assess the progress of the expected results, identify existing problems and corresponding solutions, and identify experience and deficiencies in project design and implementation. The mid-term assessment focuses on the relevance, effectiveness, efficiency and sustainability of project implementation. The outline of the mid-term evaluation is to be jointly prepared by UNDP, CICETE and the Project Coordination and Management Office.

The final assessment (completion inspection) will be conducted three months before the end of the project. The final evaluation's focus assessment will have the same focus as the mid-term review, but with a focus on the long term results of the project/ impact and sustainability of the project's outcomes. The final assessment (completion inspection) will also provide suggestions for follow-up activities of the project. The outline (completion inspection) of the final assessment is to be jointly prepared by UNDP, CICETE and the Project Coordination and Management Office.

Project Evaluation Plan

Evaluation Activities	Time Planned	Institution/Experts Responsible	Fees
Workshop of project preparation and start-up	3rd quarter of 2018	Project Coordination and Management Office, Project Implementation Office, and Consultants and Experts, M&E Task force (Gender, ESMF, GRM, Risk and M&E).	US 10,000
2018 Annual Progress Report	4th quarter of 2018	Project Coordination and Management Office, Project Implementation Office, and Consultants and Experts, M&E Task force (Gender, ESMF, GRM, Risk and M&E).	Regular Budget
2019 Annual Progress Report	4th quarter of 2019	Project Coordination and Management Office, Project Implementation Office, and Consultants and Experts,	Regular Budget

		M&E Task force (Gender, ESMF, GRM, Risk and M&E).	
2020 Annual Progress Report and Mid-term Evaluation Report	4th quarter of 2020	Project Coordination and Management Office, Project Implementation Office, and Consultants and Experts, M&E Task force (Gender, ESMF, GRM, Risk and M&E).	US 10,000
2021 Annual Progress Report	4th quarter of 2021	Project Coordination and Management Office, Project Implementation Office, and Consultants and Experts, M&E Task force (Gender, ESMF, GRM, Risk and M&E).	Regular Budget
2022 Annual Progress Report and Final Evaluation Report	4th quarter of 2022	Project Coordination and Management Office, Project Implementation Office, and Consultants and Experts, M&E Task force (Gender, ESMF, GRM, Risk and M&E).	US 10,000

VII. MULTI-YEAR WORK PLAN

Expected Outputs	Planned Activities	Planned Budget by Year				Responsible Parties	Planned Budget Allocation				
		2018/19	2020	2021	2022		Guangna	Parallel Funding from Guangna	Parallel funding from Government	UNDP TRAC	Total Amount (USD)
Output 1: Policies and management frameworks related to the development planning of Wuhai's production sectors strengthened	1.1 To carry out baseline surveys and systematically evaluate the environmental conditions, development status and development potential of the mining industry in Wuhai	30,000				Project Coordination and Management Office	30,000		12,000		42,000
	1.2 To carry out case studies on best practices in environmental governance of domestic resource-exhausted (including but not limited to Shanxi, Shaanxi, Liaoning, Sichuan and Inner Mongolia)	40,000	60,000			Project Implementation Office	100,000				100,000
	1.3 To carry out case studies on best practices in environmental governance of foreign resource-exhausted cities (including but not limited to Germany, the United States, South Africa, Central Asia, and Europe)	30,000	30,000	40,000		Project Implementation Office	100,000				100,000
	1.4 To carry out field trip of economic transformation and environmental best practice of foreign resource-exhausted cities (7 people and 10 days each time)	60,000		60,000		Project Coordination and Management Office	120,000		40,000		160,000
	1.5 To put forward policy recommendations for sustainable development of Wuhai's mining and environmental remediation laws and regulations;	10,000	10,000	10,000	10,000	Project Implementation Office	40,000				40,000
	1.6 To summarize the experiences of economic restructuring and upgrading of comprehensive environmental improvement in Wuhai in order to provide typical example for the sustainable development of domestic and oversea resource-exhausted cities			30,000	20,000	Project Coordination and Management Office	50,000		20,000		70,000
In total (Output 1)							440,000		72,000		512,000
Output 2: Wuhai City has the tools in place to become one of the first cities to be certified as a "green mining pilot"	2.1 To carry out green construction advocacy and counseling in selected companies in coal mining, washing, coking, deep processing and other industries	14,000	14,000	18,000	10,000	Project Implementation Office	76,000		58,000		134,000
	2.2 To carry out investigation of green mining	40,000				Project Implementation Office	40,000		12,000		42,000
	2.3 To carry out investigation of coal mining subsidence area		40,000			Project Implementation Office	40,000		12,000		52,000

Expected Outputs	Planned Activities	Planned Budget by Year				Responsible Parties	Planned Budget Allocation				
		2018/19	2020	2021	2022		Guangna	Parallel Funding from Guangna	Parallel funding from Government	UNDP TRAC	Total Amount (USD)
as per Chinese regulation	2.4 To review materials and complete evaluation for companies' "green" application companies	7,000	7,000	7,000		Project Coordination and Management Office	21,000		16,000		37,000
In total (Output 2)							177,000		98,000		275,000
Output 3: Successful implementation of low-carbon actions, low carbon tools in place, and relevant persons with increased knowledge in low carbon technology and initiatives.	3.1 To investigate and Research on energy consumption, pollution and emission of key industries in Wuhai, with reference to Wuhai Greenhouse Gases Inventory		4,000			Project Coordination and Management Office	4,000		1,200		5,200
	3.2 Combining with Wuhai's 13th Five-Year Plan, to hold workshops and seminars for relevant industries and formulate roadmaps in line with local development trends, models, and technologies.	7,000	7,000	7,000	7,000	Project Coordination and Management Office	28,000		11,000		39,000
	3.3 To prepare the Green Paper on Low Carbon Development in Wuhai		26,000			Project Coordination and Management Office	26,000		7,000		33,000
	3.4 According to the National Carbon Emission Trading Market Construction Plan, to carry out carbon trading capacity building and carbon management in key emission enterprises	15,000	15,000			Project Coordination and Management Office	30,000		7,000		37,000
	3.5 To launch special training for local low-carbon experts	5,000	5,000	5,000	5,000	Project Coordination and Management Office	20,000		6,000		26,000
In total (Output 3)							108,000		32,200		140,200
Output 4: Policy recommendations for formulating incentive policies and regulations in place	4.1 To conduct research on local policies for energy conservation and emission reduction actions, especially financial policies and financial products; To discuss on carbon financing related policies, feasibility of product innovation, etc.			30,000		Project Coordination and Management Office	30,000		8,000		38,000
	4.2 To explore sustainable green carbon financing models		30,000			Project Coordination and Management Office	30,000		2,000		32,000
	4.3 To encourage research and development of policies and measures, such as tax policies and carbon trading policies			30,000		Project Coordination and Management Office	30,000		2,000		32,000

Expected Outputs	Planned Activities	Planned Budget by Year				Responsible Parties	Planned Budget Allocation				
		2018/19	2020	2021	2022		Guangna	Parallel Funding from Guangna	Parallel funding from Government	UNDP TRAC	Total Amount (USD)
	4.4 To prepare Research report on Wuhai Green Carbon Financing.			30,000		Project Coordination and Management Office	30,000		13,000		43,000
	In total (Output 4)						120,000		25,000		145,000
Output 5: Pilots of hydrogen economy and carbon circular economy conducted	5.1 To conduct a feasibility study on the development of hydrogen energy economy in Wuhai City hydrogen-adding coal-fired boiler in regional heating industry, etc. to conduct the experiment and demonstration of hydrogen energy economy	200,000	200,000			Project Coordination and Management Office, Project Implementation Office	40,000		3,000		43,000
	5.2 To select one or two priority areas from the coal industry, chlor-alkali chemical industry, related fields of the application of fuel cells in public transportation, related fields of the addition of hydrogen to internal combustion engines (ICE), thermal power industry and related fields of hydrogen-adding coal-fired boiler in regional heating industry, etc. to conduct the experiment and demonstration of hydrogen energy economy	210,875	210,875	210,875	210,875	Project Coordination and Management Office, Project Implementation Office	843,500		127,000		137,000
	5.3 To analyze and summarizing the technical roadmap for the development of the hydrogen energy economy in Wuhai City			15,000	15,000	Project Coordination and Management Office	30,000		6,000		36,000
	In total (Output 5)						913,500		136,000		1,049,000
Output 6: Pilots on carbon circular economy, including carbon capture and utilisation	6.1 To pilot coking, carbon capture and purification of the chlor-alkali chemical industry chain to promote industrial upgrading and transformation	200,000	275,000	275,000	150,000	Project Coordination and Management Office, Project Implementation Office	950,000		27,000		777,000
	6.2 To pilot hydrogen capture and purification in the chlor-alkali chemical industry chain	200,000	680,000	680,000	670,000	Project Coordination and Management Office, Project Implementation Office	880,000		36,000		716,000
	6.3 To explore the potential of carbon trading by developing carbon dioxide and hydrogen acquisition and utilization methods.	70,000	29,020	20,000		Project Coordination and Management Office	119,020		5,200		65,200

Expected Outputs	Planned Activities	Planned Budget by Year				Responsible Parties	Planned Budget Allocation				
		2018/19	2020	2021	2022		Guangna	Parallel Funding from Guangna	Parallel funding from Government	UNDP TRAC	Total Amount (USD)
	In total (Output 6)						1,980,980		68,200		1,558,200
Output 7: Methodology in carbon emission reduction by fuel cells application in transportation sector in place	7.1 To investigate on emission profile, parameters, relevant data, etc. of load-carrying vehicles	35,000		490, 980		Project Implementation Office	35,000				35,000
	7.2 To research on national, regional, industrial policies and requirements, etc. of load-carrying vehicles		35,000			Project Coordination and Management Office, Project Implementation Office	35,000		5,200		40,200
	7.3 To investigate the scientificity of methodology for fuel cell vehicle emission reduction	7,000	7,000	7,000		Project Implementation Office	21,000		4,700		25,700
	7.4 To develop methodology of fuel cells for transport emission reduction			35,000		Project Implementation Office	35,000				35,000
	In total (Output 7)						126,000		9,900		135,900
Output 8: Eco-tourism initiatives in place and/or strengthened	8.1 To formulate and amend Wuhai Industrial Tourism Plan, and to develop in-depth exploration for tourism and to development industrial tourism by establishing mining technology exhibition area, coal culture development area and mining recreation area, and etc;	7,500	7,500			Project Coordination and Management Office, Project Implementation Office	15, 000		6,700		21,700
	8.2 To provide technical assistance for the implementation of tourism planning in mountainous and lake areas, and to propose policies and technical recommendations for plan adjustment and improvement from the perspective of wetland conservation and habitat conservation of migrating birds	7,500	7,500			Project Coordination and Management Office	15,000		6,700		21,700
	8.3 To review eco-tourism plan of alpine meadow areas and propose policy and technical suggestions for adjustment and improvement	7,500	7,500			Project Coordination and Management Office	15,000		6,700		21,700
	8.4 In combination with the characteristics of Wuhai City resources, establishing and holding regularly festivals such as the "Wuhai City Birding Festivals", "Cistaceae Flower Festival", "Festival of Sails" and "Sand Culture Festival".	8,000	8,000	8,000	8,000	Project Coordination and Management Office	24,000		12,000		26,000
	In total (output 8)						70,000		32,100		102,100

Expected Outputs	Planned Activities	Planned Budget by Year				Responsible Parties	Planned Budget Allocation				
		2018/19	2020	2021	2022		Guangna	Parallel Funding from Guangna	Parallel funding from Government	UNDP TRAC	Total Amount (USD)
Output 9: Sustainable governance mode of mining area established and promoted by carrying out solid waste management in mining areas	9.1 To carry out demonstration project of dump site (slag mountain) comprehensive governance and planning for mining areas, and conclude and formulate replicable and propagable technical standard and cases, such as pilot photovoltaic power generation and/or vegetation restoration and recycled water utilization in slag mountains (parallel funding)	50,000			50,000	Project Coordination and Management Office	100,000		20,000		120,000
	9.2 To carry out environment governance planning in mining area	50,000				Project Coordination and Management Office	50,000		12,000		62,000
	9.3 To carry out demonstration project of dump site (slag mountain) comprehensive governance and planning for mining areas, and conclude and formulate replicable and propagable technical standard and cases, such as pilot photovoltaic power generation and/or vegetation restoration and recycled water utilization in slag mountains (parallel funding)	700,000	700,000	700,000	700,000	Project Coordination and Management Office, Project Implementation Office	2,800,000		15,000		2815,000
	9.4 To procure equipment of mining rehabilitation (parallel funding)		4,000,000	3,000,000		Project Implementation Office		5,000,000			5,000,000
	9.5 To establish <i>Green Mining and Sustainable Mining Governance Summit</i> and held regularly	30,000	30,000	30,000	30,000	Project Coordination and Management Office	120,000		26,000		146,000
	9.6 To share sustainable mining governance experience at national and international levels	20,000	20,000	20,000	20,000	Project Coordination and Management Office	80,000		32,000		112,000
	9.7 To improve mining area management regulation endorsed by local government by comparing with the <i>Managing mining for sustainable development - A Sourcebook</i> published by UNDP		20,000			Project Coordination and Management Office, Project Implementation Office	20,000		5,000		25,000
	In total (Output 9)						3,170,000	5,000,000	111,000		8281,000
Output 10: Capacity of Wuhai City in wetland	10.1 To investigate wetland management situation in Wuhai and propose policy recommendation for unified wetland management	7,500	7,500			Project Coordination and Management Office	15,000		8,700		23,700

Expected Outputs	Planned Activities	Planned Budget by Year				Responsible Parties	Planned Budget Allocation				
		2018/19	2020	2021	2022		Guangna	Parallel Funding from Guangna	Parallel funding from Government	UNDP TRAC	Total Amount (USD)
management effectively strengthened	10.2 To establish and operate Wuhai inter-departmental wetland conservation coordination mechanism	7,500	7,500	7,500		Project Coordination and Management Office	22,500		6,900		29,400
	10.3 To enhance management and monitoring capacity for Longyouwan National wetland reserve	50,000	50,000	50,000		Project Coordination and Management Office	150,000		8,700		158,700
	10.4 To carry out dredging of Wuhai Lake and implement environmental comprehensive governance	20,000	10,000	10,000		Project Coordination and Management Office	40,000		15,600		55,600
	10.5 To carry out baseline investigation on the water quality and sedimentation condition of Wuhai Lake to identify the source of sedimentation and its mechanism, and to research on the feasibility of sedimentation application as surface soil	35,000		35,000		Project Coordination and Management Office, Project Implementation Office	70,000		36,000		106,000
	10.6 To establish natural reserve networks in Wuhai	7,500	7,500	7,500		Project Coordination and Management Office	22,500		6,000		28,500
	In total (output 10)						320,000		81,900		401,900
Output 11: New business model for Wuhai residents researched and demonstrated, and livelihood opportunities for men and women indigenous people strengthened	11.1 To investigate on Wuhai business model and exploit recommendable business model		7,500			Project Coordination and Management Office	7,500				7,500
	11.2 Combining with eco-tourism, through training on residents, to develop eco-tourism practice capability relevant to Wuhai Lake and Ancient Camel Salt Road.	28,000	21,000	21,000	14,000	Project Coordination and Management Office	84,000		7,200		91,200
	11.3 To establish and continuously operate Wuhai Women Development Fund (parallel funding), to increase the accessibility of Local women in start-up capitals	500,000		300,000		Project Coordination and Management Office		800,000	38,000		838,000
	In total (output 11)						91,500	800,000	45,200		936,700
Output 12: Capacity of Wuhan City in planning and	12.1 To develop Wuhai Environmental Education Five-Year Plan	25,000	25,000			Project Coordination and Management Office	50,000		8,300		58,300

Expected Outputs	Planned Activities	Planned Budget by Year				Responsible Parties	Planned Budget Allocation				
		2018/19	2020	2021	2022		Guangna	Parallel Funding from Guangna	Parallel funding from Government	UNDP TRAC	Total Amount (USD)
implementing environment education and communications strengthened	12.2 To develop training materials for Longyouwan Wetland Reserve Education Center for Longyouwan Wetland Reserve Education Center	24,000	24,000	20,000		Project Coordination and Management Office	68,000				68,000
	12.3 Based on Longyouwan Wetland Reserve Education Center, concentrating on public environmental education and awareness enhancement activities, to improve educational and advocacy activity arrangement		26,000			Project Coordination and Management Office	26,000		45,000		71,000
	12.4 To develop training plans for Longyouwan Wetland Reserve Education Center		15,000			Project Coordination and Management Office	15,000		7,000		22,000
	12.5 To Integrate the core information of environmental governance and sustainable development into the cultural and sports activities of Wuhai City, such as enterprise staff training, cultural and sports activities, mass sport competition, knowledge contests, and technical competitions.	10,000	10,000	10,000	10,000	Project Coordination and Management Office, Project Implementation Office	40,000		37,000		77,000
	In total (output 12)						249,000		97,300		346,300
Chief Technncial Advisor		3,000	18,000	18,5000	9,000	Project Coordination and Management Office,	45,000				45,000
Project Manager		13,535	40,615	40,615	40615	Project Implementation Office	176,000				176,000
Knowledge Management & Safeguards Officer		10,420	31,270	31,270	31270	Project Implementation Office	135,500				135,500
Total							7,631,500	5,800,000	808,800		14,240,300
Project Innception and annual performance review	Project Start-up preparation, project start-up workshop, annual review	32,000				Project Coordination and Management Office, M&E Task force (ESMF, GRM, Gender, Risk and M&E),	10,000			22,000	32,000
Mid-term Evaluation			10,000			Project Coordination and	10,000				10,000

Expected Outputs	Planned Activities	Planned Budget by Year				Responsible Parties	Planned Budget Allocation				
		2018/19	2020	2021	2022		Guangna	Parallel Funding from Guangna	Parallel funding from Government	UNDP TRAC	Total Amount (USD)
						Management, Office, M&E Task force (Gender, ESMF, GRM, Risk and M&E)					
Final Evaluation					10,000	Project Coordination and Management Office, M&E Task force (Gender, ESMF, GRM, Risk and M&E) Office,	10,000				10,000
UNDP GMS(3%)						UNDP	239,751				534,205
CICETE GMS(3%)						CICETE	239,751				534,205
UNDP DPC (3%)						UNDP	239,751				190,787
CICETE DPC (3%)						CICETE	239,751				190,787
In total							9,111,484	5,800,000	808,800	22,000	15,742,284

Available Resources	Inner Mongolia Guangna Coal Industry (Group) Co., Ltd.	9,111,484
	Parallel Funding from Guangna Group	5,800,000
	Wuhai Municipal People's Government (In-kind)	808,800
	UNDP TRAC	22,000
	In Sum	15,742,284
Unfunded		
In total		15,742,284

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

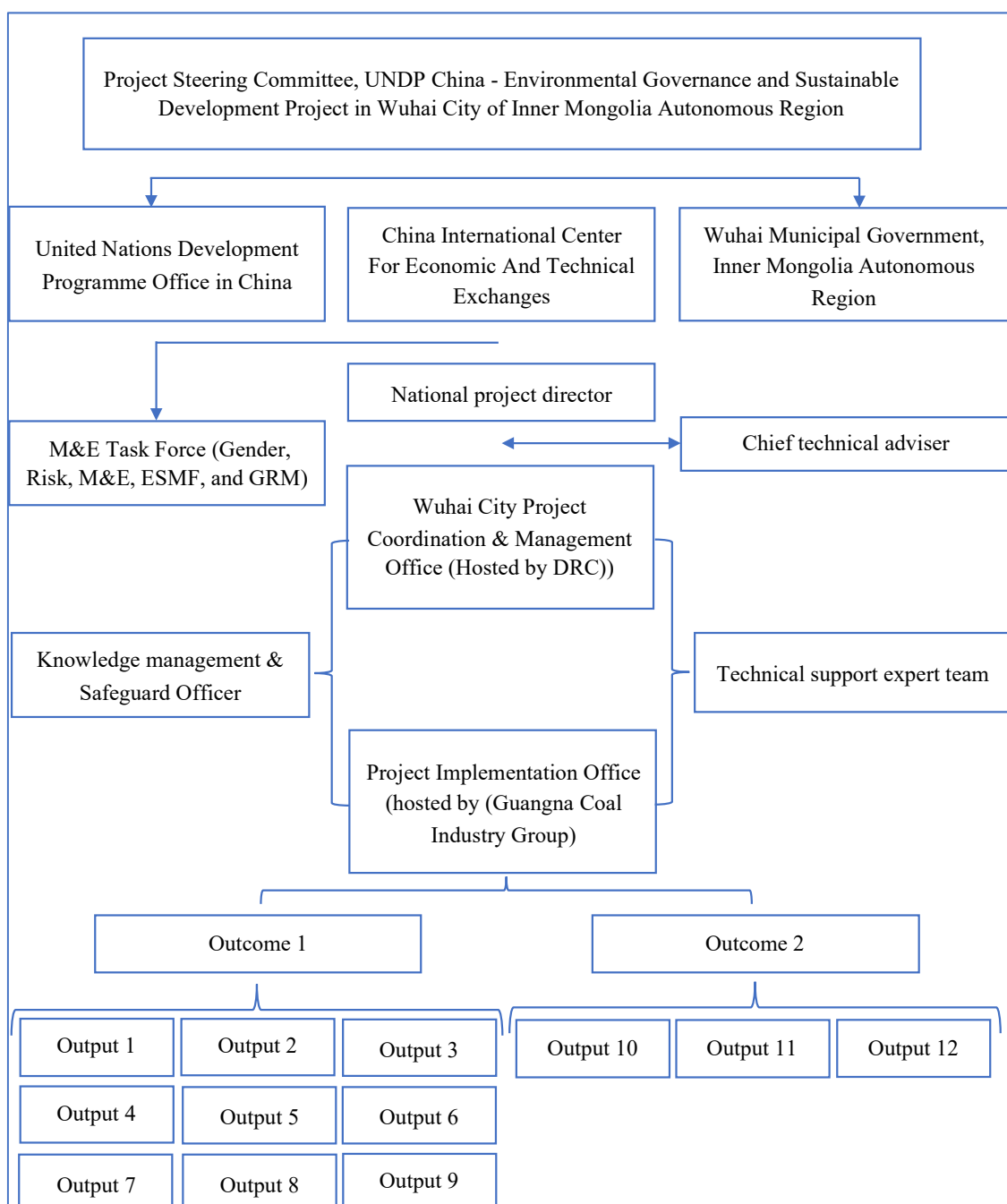
8.1. Implementation Modality

The implementation and management modality of this project is National Implementation Modality (NIM).

8.2. Project Governance and Management Framework

In order to ensure project compliance and effective management of the implementation, the following management, supervision and coordination agencies are established: 1) Project Steering Committee, responsible for strategic decision-making; 2) Project Coordination and Management Office, responsible for guiding, supervising and coordinating the project implementation; and 3) Project Implementation Office, which under the supervision of the Project Coordination and Management Office (PCMO) and CICETE, is responsible for implementation of the project activities.

Project Management Structure



8.3. Specific Roles and Responsibilities of Key Stakeholders

8.3.1. Project Steering Committee

To provide policy and strategic guidance for the implementation of the project, the “Project Steering Committee” is established. The Project Steering Committee is composed of representatives from UNDP, CICETE, the Wuhai Municipal Government and its leading and coordination departments, and Guangna group.

The Project Steering Committee will meet annually. The responsibilities of the Project Steering Committee include: 1) To approve the Annual Work Plan; 2) To investigate and approve the Annual Progress Report; 3) To provide technical assistance and suggestion for the project tailored to different industries; 4) To motivate policies, human resources and supporting funding resources to support the implementation of the project; 5) To ensure the coordination of member units by coordinating internal different opinions; and 6) To conduct comprehensive assessment of the project's final results.

8.3.2. UNDP

UNDP China Office will be mainly responsible for: 1) providing audit services for the project; 2) carrying out supervision and evaluation activities jointly with CICETE; 3) appointing independent financial auditors and assessors; and 4) ensuring that all activities including procurement and financial services are strictly in accordance with the procedures of UNDP.

8.3.3. CICETE

As the implementation partner of the project, CICETE is responsible for the following project management activities: 1) ensuring the realization of project outcomes and in charge of the implementation, management and coordination work of the project according to the Project Document and Project Management Guide; 2) conducting joint monitoring and evaluation with UNDP, sharing and publishing project results; 3) providing financial service to the project, including coordinating with the Project Coordination and Management Office to set up Annual Work Plan, prepare Project Progress Report and determine the annual budgets, etc.

8.3.4. People's Government of Wuhai City

The People's Government of Wuhai City is responsible for offering leadership, policy and organizational coordination for the implementation of this project, supporting coordination among organizations. Since the project design involves policy reform, planning adjustment, industrial structure layout, financial and credit policies and other areas with strong policy sensitivity, involves cross-industry and cross-sector coordination, it is suggested that a comprehensive department shall be appointed as supporting unit for the Project Coordination and Management Office by the Wuhai Municipal People's Government, and provide office space, staff and office equipment for Project Coordination and Management Office, .

8.3.5. Inner Mongolia Guangna Coal Industry (Group) Co., Ltd.

Inner Mongolia Guangna Coal Industry (Group) Co., Ltd. provides financial support for the project and office space, staff and necessary equipment for needed for Project Implementation Office

8.3.6. Project Coordination and Management Office

The Project Coordination and Management Office is located at the government's comprehensive functional department designated by the Wuhai Municipal Government. Under the guidance of the Project Steering Committee, the Project Coordination and Management Office is responsible for the coordination and management of the project. In the Project Coordination and Management Office, there will be a position of a National Project Director, served by the leadership of Wuhai Municipal Government.

The responsibilities of the Project Coordination and Management Office include: coordinating the work among the related government agencies along with Inner Mongolia Guangna

Coal Industry (Group) Co., Ltd., UNDP, and CICETE, and engage in the implementation of the project and instructing the work of the Project Implementation Office.

8.3.7. Project Implementation Office

The Project Implementation Office is located at the headquarters of Guangna Coal Industry (Group) Co., Ltd, but with participation of the representatives of the related government agencies. Under the instruction and supervision of the Project Steering Committee, and the guidance and direct leadership of Project Coordination and Management Office, Project Implementation Office will support the requirement set by Project Coordination and Management Office, CICETE, and UNDP, to implement the project activities, and to ensure the realization of project activities

The Project Implementation Office is responsible for all administrative and financial accounting work and the implementation of project activities according to the project work plan during the implementation stage. The Project Implementation Office will be led by Director of the Office appointed by Wuhai Municipal Government. The Project Implementation Office consists of: Project Manager, Project Assistant, Knowledge Management and Safeguards Officer, Project Accountant and Cashier.

The detailed responsibilities of the Project Implementation Office include: compiling work plan, the daily management of project implementation, monitoring the progress of project Implementation and capitals, promoting the experience sharing and preparing periodic report for the project, etc.

8.4. Other Arrangements

During the implementation of the project, the project will seek to cooperate with other similar projects within Wuhai city, UNDP China and others as relevant, jointly implement the activities specified in the project documents and achieve deliverable technical results in areas where policy and technology products can be generated.

During implementation, the project will be open to cooperation with stakeholders including the private sector, academia, charitable foundations, and other civil society groups. With new partners, new project activities will be initiated, designed and approved in accordance with the requirements of the project cycle management of UNDP and the Ministry of Commerce while relevant agreement procedures will be followed.

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 (country) and UNDP, signed on (date). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by China International Center for Economic and Technical Exchanges (CICETE), Ministry of Commerce of the People's Republic of China (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

X. RISK MANAGEMENT

1. Consistent with the Article III of the SBAA [*or the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- 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;

➤ Assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

4. 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>).

5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

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. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

9. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

10. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's

Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

11. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

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

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

12. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

14. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XI. ANNEX

Annex 1: Project Quality Assurance Report

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL				
OVERALL PROJECT				
EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.
DECISION				
<ul style="list-style-type: none"> • APPROVE – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner. • APPROVE WITH QUALIFICATIONS – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner. • DISAPPROVE – the project has significant issues that should prevent the project from being approved as drafted. 				
RATING CRITERIA				
STRATEGIC				
1. Does the project’s Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):			3 ✓	2
1. 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project’s strategy is the best approach at this point in time.			1 Evidence	
2. 2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.				
3. 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD’s theory of change.				
Evidence The project strategy and objectives are in line with national, provincial and municipal priorities for economic transformation and environment rehabilitation in resource dependent cities in China, Inner Mongolia Autonomous Region and Wuhai City. The project design reflects primary priorities of a number of government agencies inn Wuhai City and Guangna Coal Industry Group, Co. Ltd., which were identified and agreed during the consultations organized during the project preparation. The document precisely analyzes development challenges, the assumptions, strategic objectives, the expected outcome, the planned output/activities to achieve the project results. The project preparation also conducted risk assessment and proposed corresponding mitigation measures.				
2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):			3 ✓	2
<ul style="list-style-type: none"> • 3: The project responds to one of the three areas of development work as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas ; an issues-based analysis has been incorporated into the project design; and the project’s RRF includes all the relevant SP output indicators. (all must be true to select this option) • 2: The project responds to one of the three areas of development work1 as specified in the Strategic Plan. The project’s RRF includes at least one SP output indicator, if relevant. (both must be true to select this option) • 1: While the project may respond to one of the three areas of development work1 as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the 			1 Evidence	

<p>relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.</p>									
<p>Evidence</p> <p>The project support localization of SDGs, UNDAF 2016-2020 and UNDP's Country Programme Document for China (2016-2020): 1) Goal 3 : Ensure healthy lives and promote well-being for all at all ages, SDG Goal 7 : Ensure access to affordable, reliable, sustainable and modern energy for all, SDG Goal 9 : Build resilient infrastructure, promote sustainable industrialization and foster innovation, SDG Goal 13: Take urgent action to combat climate change and its impacts, and SDG Goal 15: Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss; 2) United Nations Development Assistance Framework from 2016 to 2020 for the People's Republic of China, Outcome 2: More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth; 3) UNDP Country Programme Document for China (2016-2020): Output 2.1: China's actions on climate change mitigation, biodiversity and chemicals across sectors are scaled up, funded and implemented under Outcome 2: More people enjoy a cleaner, healthier environment as a result of improved environmental protection and sustainable green growth</p>									
<p>RELEVANT</p>									
<p>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</p> <p>a) 3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable). The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (all must be true to select this option)</p> <p>b) 2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (both must be true to select this option)</p> <p>c) 1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.</p> <p><i>*Note: Management Action must be taken for a score of 1, or select not applicable.</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; text-align: center;">3 ✓</td> <td style="width: 33%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;"><i>Select (all) targeted groups: (drop-down)</i></td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> </table>	3 ✓	2	1		<i>Select (all) targeted groups: (drop-down)</i>		Evidence	
3 ✓	2								
1									
<i>Select (all) targeted groups: (drop-down)</i>									
Evidence									
<p>Evidence</p> <p>The project intends to promote the ecosystem remediation and wetland conservation in mining area, explore the model of economic transformation and sustainable development of resource-based cities and promote the environmental governance and sustainable development of Wuhai by strengthening the environmental and development policy process, piloting demonstration mine management and slag mountain management, piloting new energy sources, promoting biodiversity conservation and ecotourism, and providing project management and technical support. While key stakeholders, including government agencies, private sectors and local communities, were consulted during the project preparation, the project will continue engagement with them during the project implementation, monitoring and evaluation. Representatives of the key stakeholders will also participate in the Project Steering Committee to provide policy guidance and advices to ensure the direction of project implementation and substantive stakeholders' participation in the project implementation.</p>									
<p>4. Have knowledge, good practices, and past lessons learned from UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</p> <p>1. 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.</p> <p>2. 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.</p> <p>3. 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.</p> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; text-align: center;">3 ✓</td> <td style="width: 33%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> </table>	3 ✓	2	1		Evidence			
3 ✓	2								
1									
Evidence									
<p>Evidence</p> <p>The project design was carried out by taking into consideration of experiences and lessons learned from UNDP and others, e.g. UNDP China Rugao Hydrogen Economy Pilot Project in China, EU China Environment Governance Program, UN Partnership Towards Green Economy (China). The proposed project modalities and approaches have been implemented by UNNDP China CICETE, which have been proved effective and efficient project modality. In addition, the project design is responsive to the guiding principles for managing mining for sustainable development as advised by a source book, Managing Mining for Sustainable Development, which is jointly developed by UNDP and UN Environment. During project implementation, the project will make reference to this source book where and when this is needs for technical references in promoting sustainable mining.</p>									

<p>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</p> <ol style="list-style-type: none"> 3: A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option) 2: A gender analysis in the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated into the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option) 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 constraints have not been clearly identified and interventions have not been considered. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2 ✓
	1	
	Evidence	
<p>Evidence</p> <p>The project conducted gender analysis at instructional and community level by using semi-structured interview techniques. Gender consideration has been mainstreamed into design of outcomes, outputs, detailed activities and project implementation management arrangement. Gender analysis and expected results have been described in the section of theory of change and the results framework. A specific Women Development Fund has been designed under this project.</p>		
<p>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</p> <ol style="list-style-type: none"> 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. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (all must be true to select this option) 2: Some analysis has been conducted on the role of other partners 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. Options for south-south and triangular cooperation may have not been fully developed during project design, even if relevant opportunities have been identified. 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is a 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. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3 ✓	2
	1	
	Evidence	
<p>Evidence</p> <p>This project has a clear advantage for UNDP to engage the relevant stakeholders in the fields of environment governance and sustainable development to promote sustainable development of Wuhai City, including advancing its environment sustainability, transformation of economic structure, accelerating climate and sustainable development progress. It is critical for project implementation with intended results and it will also ensure project outcome and impacts at global level. UNDP can also help Wuhai City to consolidate its best practice and promote them among development partners at national, regional and international levels, the convening power and global reach-out of the project results is also the unique advantage of UNDP.</p>		
SOCIAL & ENVIRONMENTAL STANDARDS		
<p>7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</p> <ol style="list-style-type: none"> 3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on the 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 to select this option) 2: Some evidence that the project aims to further the realization of human rights. 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. 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered. <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	3	2 ✓
	1	
	N/A skip	
	Evidence	
<p>Evidence</p>		

The project has a strong focus on contributions to further the realization of human rights, reflected by the consideration of improving policy making and enforcement in environmental sustainability, promoting decent employment, and improving livelihoods of local communities in Wuhai City. The detailed design of all project activities, in particular sustainable mining, improving of goaf and mining residues, environment friendly livelihoods options generated by refinement of economic structure will embed appropriate interventions to address potential adverse impacts on human rights.

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project): 1. 3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true to select this option). 2. 2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget. 3. 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.	3	✓	2
	1		
	Evidence		

*Note: Management action or strong management justification must be given for a score of 1

Evidence
 Improved environment governance, environmental sustainability and climate change are the primary objectives of the project. These objectives will be realized through strengthening environment related policy process, mainstreaming sustainable mining, biodiversity conservation, and climate change into development planning, and institutional strengthening in climate change, environmental management and clean development efforts. Project activities designed will specifically advance such progress, including interventions on renewable energy, sustainable livelihoods, wetland ecosystem management, and low carbon prosperity, etc.

9. 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		

Evidence
 A thorough Social and Environmental Standards and Screening was conducted at the project design stage (Annex 2). The assessment shows that social and environment impacts of the project are positive. Potential risks have been estimated and can be seen on the risk log in Annex 3 of the project document.

MANAGEMENT & MONITORING

10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project): <ul style="list-style-type: none"> • 3: The project’s selection of outputs and activities are at an appropriate level and relate in a clear way to the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (<i>all must be true to select this option</i>) • 2: The project’s selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (<i>all must be true to select this option</i>) • 1: The results framework does not meet all of the conditions specified in selection “2” above. This includes: the project’s selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project’s theory of change; 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. 	3	✓	2
	1		
	Evidence		

*Note: Management Action or strong management justification must be given for a score of 1

Evidence
 This project’s results framework and the planned outputs are accompanied by SMART indicators.

11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?	Yes	No
	(3) ✓	(1)

Evidence		
The M&E plan in this project document covers the specified data collection sources and methods, with a comprehensive and costed design.		
12. Is the project's governance mechanism clearly defined in the project document, including a planned composition of the project board? (select from options 1-3 that best reflects this project): 1. 3: The project's governance mechanism is fully defined in the project composition. 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 to select this option). 2. 2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The ProDoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true to select this option) 3. 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.	3 ✓	2
	1	
	Evidence	
*Note: Management Action or strong management justification must be given for a score of 1		
Evidence		
This project's governance structure is clearly indicated in the project document, with specific details on the governance roles and responsibilities of each stakeholder in the project. The organizational structure is indicated in both graph and narrative forms.		
13. Have the project risks been identified with clear plans stated to manage and mitigate each risk? (select from options 1-3 that best reflects this project): 1. 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (both must be true to select this option) 2. 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. 3. 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included in the project document.	3 ✓	2
	1	
	Evidence	
3		
*Note: Management Action must be taken for a score of 1		
Evidence		
A thorough Social and Environmental Standards and Screening was conducted at the project design stage (Annex 2). The assessment shows that social and environment impacts of the project are positive. Potential risks have been estimated and can be seen on the risk log in Annex 3 of the project document.		
EFFICIENT		
14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: 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.	Yes (3) ✓	No (1)
15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)	Yes (3) ✓	No (1)
16. Is the budget justified and supported by valid estimates? 1. 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. Costs are supported by 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. 2. 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. Costs are supported by valid estimates based on prevailing rates. 3. 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.	3 ✓	2
	1	
	Evidence	
Evidence		
This project budget is specified in a multi-year work plan that provides valid estimates from funding/parallel funding and in-kind contributions, including the confirmed resources from Guangna Coal Industry Group Co. Ltd. Confirmed resources constitute 100% of		

the total budget. The project will be open for participation and financial contribution from other interested entities so as to magnify the project scope and its impacts.		
17. Is the Country Office fully recovering the costs involved with project implementation? 1. 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. 2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. 3. 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project. *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.	3	2
	1	
	Evidence N/A, skip	
EFFECTIVE		
18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project): ➤ 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (both must be true to select this option) ➤ 2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments. ➤ 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered. *Note: Management Action or strong management justification must be given for a score of 1	3 ✓	2
	1	
	Evidence	
Evidence The project is implemented by using the mode of national implementation modality (NIM), and will be directly implemented by CICETE. UNDP and CICETE have more than 30 years of experience in cooperation in the field of sustainable development in China, and have established robust national implementation modes as well as its corresponding rules and regulations.		
19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination? <ul style="list-style-type: none"> 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions. 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions. 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project. 	3 ✓	2
	1	
	Evidence N/A Skip	
Evidence The project is designed with close consultation with the stakeholders at various levels. Through a series of interviews, consultations and high-level meetings with their high-level and insightful participation, their views, needs and constraints of them have been sufficiently reflected in the project design. The project will feature key activities to address the root causes to support their priorities in the fields of in the context of environment governance, environment sustainability, climate change and sustainable development.		
20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?	Yes (3) ✓	No (1)
Evidence Section VI Project Monitoring and Evaluation.		
21. The gender marker for all project outputs is scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.	Yes (3) ✓	No (1)

	Evidence	
<p>Evidence</p> <p>Gender perspective is not the primary goal to be achieved by the project, so not all of the outputs would be scored accordingly. But gender perspective will be sufficiently adopted into all activities addressing environment, climate change, wetland conservation, transformations of economics structure and livelihoods. Additionally, the project includes a Women Development Fund component, which is designed to increase the accessibility of Local women in start-up investments capitals, and will implemented by All China Women's Federation in Wuhai City.</p>		
<p>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> ➤ 3: The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources. ➤ 2: The project has a work plan & budget covering the duration of the project at the output level. ➤ 1: The project does not yet have a work plan & budget covering the duration of the project. 	3 ✓	2
	1	
	Evidence	
<p>Evidence</p> <p>The project has a realistic multi-year work plan and budget with specific information organized by outcomes and outputs (Section III). The project contains a complete monitoring and evaluation plan, with detailed activities listed (Section VI), including modalities for tracking results, managing risk, ensuring quality assurance, drafting of regular project reports, conducting project reviews and field trips. The evaluation activities include annual project reports, as well as mid-term and final evaluations.</p>		
SUSTAINABILITY & NATIONAL OWNERSHIP		
<p>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: National partners 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 partners. • 1: The project has been developed by UNDP with limited or no engagement with national partners. 	3	2
	1 ✓	
	Evidence	
<p>Evidence</p> <p>The project is a designed at municipal level under provincial level in line with national and provincial policy priorities at national levels. The project will enhance local capacity in enforcement of national and provincial policies and results of the project wil inform national and provincial policy priorities.</p>		
<p>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. 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. • 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen the capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. • 2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. • 1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. 	3 ✓	2.5
	2	1.5
	1	
<p>Evidence</p> <p>The project has conducted stakeholders analysis and identified strengthens and weakness of the primary stakeholders in the fields of environment and social economic development sectors, who will be directly involved in the project implementation. These include government agencies, grass root organization and private sector business. To supplement the institutional analysis, policy process assessment and capacity assessment were also conducted that resulted in a comprehensive capacity building needs assessment. A a results of these assessment, a policy strengthening component was designed to address environment, climate and development challenges for Wuhai City's environment, climate and sustainable development progress.</p>		
<p>25. Is there a clear strategy embedded in the project specifying how the project will use national systems? (i.e., procurement, monitoring, evaluations, etc.) to the extent possible?</p>	Yes (3) ✓	No (1)
<p>Evidence</p>		

The project is implemented by using the mode of national implementation modality (NIM), and will be directly implemented by CICETE. UNDP and CICETE have more than 30 years of experience in cooperation in the field of sustainable development in China, and have established robust national implementation modes as well as its corresponding rules and regulations. This will provide an effective institutional guarantee for the smooth, effective and compliant implementation of the project, and will referential experience for Wuhai City to implement international cooperation projects. Based on the above analysis, the partnership of the project is solid and valid.

26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilization strategy)?	Yes (3) ✓	No (1)
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Evidence
 The project is strategically designed to institutionalize the introduced approach and experiences to be consolidated from the project implementation into the local policy making and development planning systems. Knowledge and best practice, sustainability and replication of project results, and project results dissemination are elaborated in Section 3.8, 3.9 and 3.10.

Annex 2: Social and Environmental Screening

Project Information	
1. Project Title	United Nations Development Programme – People’s Republic of China - Environmental Governance and Sustainable Development of Wuhai, Inner Mongolia Autonomous Region
2. Project Number	109848
3. Location (Global/Region/Country)	Asia / China / Inner Mongolia Autonomous Region

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

QUESTION 1: How Does the Project Integrate the Overarching 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 project will in general terms ensure that activities are in line with the human rights based approach. The project has a strong focus on contributions to further the realization of human rights, reflected by the consideration of improving policy making and enforcement in environmental sustainability, promoting decent employment, and improving livelihoods of local resident communities in Wuhai City. The detailed design of all project activities, in particular sustainable mining, improving of goaf and mining residues, environment friendly livelihoods options generated by refinement of economic structure will embed appropriate interventions to address potential adverse impacts on human rights.
Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment
The project conducted a light gender analysis at the institutional and community level by using semi-structured interview techniques, observation and anecdotal information. Gender has been as much as possible attempted to be mainstreamed into the design of outcomes, outputs, detailed activities and project implementation management arrangement. The project has one output with a strong gender, in particular, women’s economic empowerment focus, and has as much as possible ensure that indicators are gender responsive. Additionally, the project includes the set-up of a Women Development Fund, which is designed to increase the accessibility of local resident women in start-up investments capitals, and will implemented by the All China Women’s Federation in Wuhai City.
Briefly describe in the space below how the Project mainstreams environmental sustainability
The strategic objective of the project is to promote the ecosystem remediation and wetland conservation in mining area, explore the model of economic transformation and sustainable development of resource-based cities by piloting demonstration mine management and slag mountain management, piloting new energy sources, promoting biodiversity conservation and ecotourism, and providing project management and technical support. Results from the pilots in the fields of environment governance ad sustainability, renewable energy and environment awareness promotion, etc. will be used to inform municipal and regional policies for improving policy process toward mainstreaming environment sustainability I development planning and decision making.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.	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 6			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1 - 5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: Elements of Project construction, operation, or decommissioning may pose	P = 3 I = 3	Moderate		1. On the basis of the identification and assessment of safety hazards, construction organization design and construction scheme need to be

potential safety risks to local communities				<p>prepared. Also, safety technical measures and temporary power consumption plans on the construction site should be formulated.</p> <p>2. Safety Education, and Legal Education for Project Managers, front-line managers, special equipment officer, and operating worker, will be carried out.</p> <p>3. Equipment Management: all equipment will be assigned specific personnel or staff. Regular check will be carried out.</p>
Risk 2: The Project may pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)	P = 2 I = 3	Low		<p>1. Making sure employees follow all established procedures and perform job duties as trained;</p> <p>2. Making sure all containers are properly labeled and that the material is contained in an appropriate container. Do not use any material not contained or labeled properly. Report any damaged containers or illegible labels to the manager right away;</p> <p>3. All materials will be stored properly in ventilated, dry, cool areas.</p> <p>4. Employees will be trained about emergency procedures such as evacuation procedures, emergency reporting procedures, and procedures for dealing with fires and spills.</p>
Risk 3: The Project may pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning	P = 2 I = 5	Moderate		<p>1. Establishing Standard Operation Procedures (SOPs)</p> <p>2. Establishing ways to protect workers, including developing and implementing safe practices for excavations, chemical handling and storage, electrical work, fire protection, fall protection, and Personal Protective Equipment (PPE) use.</p> <p>3. When engineering controls alone cannot protect worker overexposure to chemicals, noise, or other hazards, the employer must provide PPE.</p> <p>4. Communicating the hazards and training employees.</p> <p>5. Preparing a plan for contractor safety and training.</p>
QUESTION 4: What is the overall Project risk categorization?				
	Select one (see SESP for guidance)		Comments	
	Low Risk	<input type="checkbox"/>		
	Moderate Risk	<input checked="" type="checkbox"/>	Of 3 risks, two are rated “moderate;” one is rated “low.”	
	High Risk	<input type="checkbox"/>		
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
	Principle 1: Human Rights	<input type="checkbox"/>		
	Principle 2: Gender Equality	<input type="checkbox"/>		

	and Women's Empowerment		
	1. Biodiversity Conservation and Natural Resource Management	<input checked="" type="checkbox"/>	Risk 1 may have negative implication to achievements of biodiversity conservation related targets of the project.
	2. Climate Change Mitigation and Adaptation	<input checked="" type="checkbox"/>	Risk 1 may have negative implication to achievements of climate Change Mitigation related targets of the project.
	3. Community Health, Safety and Working Conditions	<input checked="" type="checkbox"/>	Risk 1 may have negative implication to achievements of safe and working conditions related targets of the project.
	4. Cultural Heritage	<input type="checkbox"/>	
\	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous people	<input type="checkbox"/>	
	7. Pollution Prevention and Resource Efficiency	<input checked="" type="checkbox"/>	Risk 1 may have negative implication to achievements of Pollution Prevention and Resource Efficiency

Final Sign Off

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.
Chair of PA		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..

Annex 3: Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
Principles 1: Human Rights	Answer (Yes/No)
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?	No
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4. Would the Project potentially limit 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
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes	No
1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3 Does the Project involve 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 Would Project activities pose risks to endangered species?	No
1.5 Would the Project pose a risk of introducing invasive alien species?	No
1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No

1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? For example, construction of dams, reservoirs, river basin developments, groundwater extraction	No
1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10 Would the Project generate potential adverse trans-boundary or global environmental concerns?	No
1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.	No
Standard 2: Climate Change Mitigation and Adaptation	
2.1 Will the proposed Project result in significant 12 greenhouse gas emissions or may exacerbate climate change?	No
2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3 Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive 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
Standard 3: Community Health, Safety and Working Conditions	
3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	Yes
3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	Yes
3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, and erosion, flooding or extreme climatic conditions?	No
3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vectorborne diseases or communicable infections such as HIV/AIDS)?	No
3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	Yes
3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage	
4.1 Will the proposed Project result in interventions that would potentially adversely impact 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

4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement	
5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2 Would the Project possibly result in 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 Is there a risk that the Project would lead to forced evictions?	No
5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples	
6.1 Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3 Would the proposed Project potentially affect 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 the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.	No
6.4 Has there been an 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 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency	
7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or trans-boundary impacts?	No
7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and nonhazardous)?	No
7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose 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 Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol	No
7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex 4: ATLAS Risk Log

Project Title: United Nations Development Programme – People’s Republic of China - Environmental Governance and Sustainable Development of Wuhai, Inner Mongolia Autonomous Region						Project Number: 109848	DATE: August 29th, 2018		
#	Description	Date identified	Type	Impact and Probability	Countermeasures/ Management Response	Owner	Submitted, updated by	Last Update	Status
1	Project partners have some misunderstandings in the use of private-sector funds in the form of projects to influence policy reforms and adjustments in the area of public policy.	10/MAY/2018	Political risk	P = 4 I = 2 P×I=8	<ul style="list-style-type: none"> - Make full use of the project start-up preparation and start-up seminars, explain the project strategy and partnership to all partners, deepen understanding and eliminate misunderstandings; - Observe the relevant principles of public policy, strengthen the monitoring of the use of funds and direction of the project, and publicize the positive role of public-private partnerships in promoting fair policies and private sector development. 	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>
2	Insufficient project resources and reduced interest in industry sector involvement, which in turn affects the achievement of expected results	10/MAY/2018	<i>Implementation risk</i>	P = 2 I = 5 P×I=10	<ul style="list-style-type: none"> - Explore expanded partnerships, promote project cooperation mechanisms to the municipal government level, ensure the inclusiveness and openness of the cooperation platform, and attract more resources, including the private sector, foundations and other civil society groups. - Taking the strategic goals of the project as the guideline, gradually establish synergies with the main areas of the city’s scientific and technological innovation funds and corporate R&D funds, integrate resources, and jointly promote the development of related fields. 	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>
3	The industry involved in the project is wide and the policy process is slow, causing the project to have an expected delay.	10/MAY/2018	<i>Implementation risk</i>	P = 2 I = 5 P×I=10	<ul style="list-style-type: none"> - Optimize the functions of the Project Steering Committee and gradually establish contacts and communication with the Municipal People's Congress Population and Environmental Protection Committee; - Organize policy consultation meetings with relevant industries and departments to inform project results, understand policy processes, and strengthen coordination between project strategy and policy priorities and implementation. 	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>
4	Project management capabilities are not enough, resulting in lags in project implementation and expected achievement delay, even may not achieve expected results.	10/MAY/2018	<i>Implementation risk</i>	P = 2 I = 5 P×I=10	<ul style="list-style-type: none"> - Continuous project management training for Project Coordination and Management Office and Implementation Office; - Optimize the functions of the Project Steering Committee, establish a project technical advisory committee, and strengthen the technical support of the project. 	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>
5	Reputation risk to the UNDP due to partner misuse of the project brand for profit or other purposes	10/MAY/2018	<i>Other risk</i>	P = 3 I = 4 P×I=12	<ul style="list-style-type: none"> - Strictly execute UN due diligence and branding requirements to mitigate potential risks; - Maintain regular communication and engagement with partners to ensure project implementation complies with all United Nations Development Programme rules. 	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>

6	There are risks related to environmental awareness.	29/Aug/2018	<i>Environmental Risk</i>	P = 3 I = 4 P×I=12	- The project will address this risk by developing and implementing a five-year plan for improving environmental awareness and sustainability awareness: 1) Target group: The target group for education and advocacy will include township and village committee officials, company managers, primary and secondary school students and local villagers. Educational promotion methods and content will be specifically designed for each target group; 2) Incorporating legal requirements related with environmental protection into education and promotion programs; 3) Listening to public opinions, and incorporating villagers' opinions into the design and implementation of education and promotion activities; 4) Environmental education and awareness activities will be closely integrated with the government and the livelihood improvement activities funded by the project.v			August 29th, 2018	<i>Initial</i>
7	General reputational risks associated with engaging the mining sector. The mining sector has been identified as a high-risk sector when engaging a private sector according to the Due Diligence process.	29/Aug/2018	<i>Other Risk</i>	P = 3 I = 4 P×I=12	- Mining Sector is indeed a high-risk sector. However, the programmatic focus of the project is on transformation to clean energy. Furthermore, it adheres to the UNDP policies on working with the mining sector. These includes 1) Mapping Mining to the Sustainable Development Goals; 2) Managing Mining for Sustainable Development, a Source Book; and 3) A Guide for Governments and Partners to Integrate Environment and Human Rights into the Governance of the Mining Sector ¹⁴ . The project is consistent with these documents in design and implementation. In addition, the proposed partnership will be an opportunity for UNDP to affect structural transformation by assisting to tackle environmental and social problems of the mining sectors, and targeting to transform Wuhai's energy-intensive, heavy-polluting, coal-dependent economic model into a sustainable one. These programmatic focus and implementation in itself is a big deterrence of any negative connotations of engaging with the mining sector.	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>
8	Post-facto direct or indirect reputational issues that may be faced by the mining company in particular, or the sector, both of which can harm UNDP reputation by association	29/Aug/2018	<i>Other Risk</i>	P = 3 I = 4 P×I=12	- This risk has been addressed. Two rounds of Due Diligence have been strictly carried out to identify previous controversies. No noticeable issues have been identified. Regarding the environment issues, the company has carried out many measures to cope with the problems and their positive accomplishment and has been confirmed and endorsed by the local government in written materials. The companies policies on these issues have been reviewed.	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>
9	Reputational issues related to labour rights, and grievance redress related to the mining sector in Wuhai or the company	29/Aug/2018	<i>Other Risk</i>	P = 3 I = 4 P×I=12	- The existing grievance redress and social environmental standards and polices of the company was reviewed. The 2018 Guangna Work Plan emphasizes "workers wellbeing" as one of their priorities. This includes education and skills training, health condition of the employees which entails weekly physical examination, etc. Moreover, the work plan also puts special emphasis on its internal governance system, which allows for	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>

¹⁴<http://www.undp.org/content/undp/en/home/librarypage/poverty-reduction/environmental-governance/extracting-good-practices--a-guide-for-governments-and-partners-.html>

					<p>workers to escalate grievances including safety issues to management.</p> <ul style="list-style-type: none"> - During the implementation stage, the annual meeting will reiterate and guarantee the labour rights protection and grievance reporting mechanism in the Annual Work Plan. An internal policy and coordination mechanism is suggested to be established in company to further promote the protection of labour rights. The function of labour union will be strengthened to safeguard the smooth operation of grievance report mechanism. 				
10	Negative media coverage on the mining private sector both verified and unverified	29/Aug/2018	<i>Other Risk</i>	<p>P = 3 I = 4 P×I=12</p>	<ul style="list-style-type: none"> - An internal public communication strategy will be developed. This will have a Q and A, and as well as key messages for management and key stakeholders. - In case of negative media coverage, the Project Coordination and Management Office and the Project Implementation Office together with UNDP Communications will first identify the authenticity of the media coverage. For unverified negative media coverage, the private sector, the local government and UNDP China will jointly issue communication materials to address issues. For verified issues, the Project Implementation Office will report to the Project Coordination and Management Office first, and then collaborate with the company and local government to carry out mitigation and remediation measures. If very serious then other triggers could be identified with the steering committee 	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>
11	Unanticipated legal challenges on the company or sector on issues ranging from land rights/indigenous population related rights issues etc.	29/Aug/2018	<i>Regulatory Risk</i>	<p>P = 2 I = 4 P×I=8</p>	<ul style="list-style-type: none"> - During the Due Diligence process, it has been identified that the Code for treatment of mine Dump, which was adopted by the Wuhai Municipal People's Government for the sector, was initiated and drafted by the Guangna Group. The code emphasizes the need for information to be collected, regarding residence of the indigenous people, nature reserves, cultural heritages, traffic infrastructures, geological environment, local geography as well as the social economy and the land utilization, before starting operations. - The company also reiterates as key business principles its commitment to promoting Green mining construction; protection of residents and heritage sites; and the neighbourhood environment surrounding the mining in its drafted Code for treatment of mine Dump. - The government and Project Coordination and Management Office will ensure the legal process of acquiring land usage rights if needed. The company has established relatively great relationship with local community and it is suggested to maintain and strengthen this relationship. - In addition, a communication mechanism is suggested to establish to receive grievance and concerns from the general publics and to report to the Project Coordination and Management Office should any issues rise. 	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>

12	Agreed funding not being received according to the Annual Work Plan	29/Aug/2018	Financial Risk	P = 4 I = 3 P×I=12	<ul style="list-style-type: none"> - The Annual Work Plan will be formulated jointly by UNDP, CICETE, the local government, private sector and Project Coordination and Management Office, to ensure the required funds will be received by specific deadlines. - For Government Cost-Sharing funding's, the local government will keep in touch with the private sector to ensure the money will be provided in time and the government will maintain communications with UNDP to report any potential issues identified. - Annual Financial Report will be required to be provided to UNDP and Project Coordination and Management Office to ensure the stable cash flow of the private sector. - In addition, specific funds from the private and government side are strongly required to be reserved for project implementation. 	Programme Manager	Programme Manager	August 29th, 2018	Initial
13	Inadequate coordination among agencies. The lack of coordination mechanisms among participating sectors limits the effectiveness of human and financial resources and reduces the efficiency of the policy process and the impact of project outcomes.	29/Aug/2018	Organizational Risk	P = 2 I = 4 P×I=8	<ul style="list-style-type: none"> - The project will set up Project Coordination and Management Office in the Municipal Development and Reform Commission and set up Project Implementation Office in Guangna Group. The Project Steering Committee is led by the Wuhai Municipal Government and is composed of representatives from relevant business departments and representatives of UNDP and CICETE. The committee is responsible for reviewing project progress, approving the Annual Work Plan, and reviewing quality of the project results. Once the Annual Work Plan and budget are formally approved, the Project Coordination and Management Office and the Implementation Office shall ensure full coordination and cooperation among all units. The comprehensive department designated by the Wuhai Municipal Government is responsible for ensuring the smooth implementation of the project plan, timely discovering and handling problems of implementation. In the long run, the strategy, institutional setup and public awareness campaigns adopted by the project will promote the sustainability of the project approach 	Programme Manager	Programme Manager	August 29th, 2018	Initial
14	The process of policy formulation and adoption could be slow. The adoption process of project-related policy recommendations is slow and may reduce the efficiency of policies and planning due to poor economic development planning.	29/Aug/2018	Operational Risk	P = 3 I = 3 P×I=9	<ul style="list-style-type: none"> - This risk has been addressed in the project design. Specifically, through targeted design of policy interventions, alignment of relevant activities with policy priorities, and joint implementation of projects, project-related inputs' alliance with policies and plans of each department are ensured. In addition, the project targets at a large number of capacity building and public awareness campaigns for key policy makers and the public, with a particular focus on policy reforms including field trips, which will accelerate the adoption and implementation of policies in Wuhai and district level. At the same time, the project will also support relevant research and activities, as well as follow-up analysis of relevant policy capacity enhancement activities and effects through corresponding capacity building tracking and evaluation tools. 	Programme Manager	Programme Manager	August 29th, 2018	Initial

15	Major economic sectors may not be prioritized economic transformation of the resource-based city and environmental governance	29/Aug/2018	<i>Political Risk</i>	P = 2 I = 4 P×I =8	- This risk has been addressed in the project design. At the design stage, through consultation with the Wuhai City Development and Reform Commission, the Natural Resources Administration, the Tourism Development Committee, the Forestry and Prairie Administration, and the Yellow River Water Control Administration, cooperation opportunities with these sectors have been identified, which is precisely the basic requirement for the mainstreaming of environmental protection. In addition, mainstreaming environmental protection into development planning is fully in line with current government policy priorities and is strongly supported by current government policies. Finally, the project design also includes the time phases and time schedules related to industry planning and special sectors' planning revisions, which provides favourable conditions and opportunities to them.	Programme Manager	Programme Manager	August 29th, 2018	<i>Initial</i>
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Annex 5 Capacity Assessments

The project conducted a rapid assessment on environmental governance and sustainable development in Wuhai.

In general, the lack of systematic capabilities (integrated policy and planning capabilities, technical capabilities, financial resources and applicable solutions, and etc.) is the main development challenge for achieving environmental governance and sustainable development in Wuhai. The project aims to strengthen capacity in related fields through technical assistance in the above areas, related research, design and implementation of demonstration activities, and enhanced knowledge sharing. The project will also work with relevant companies to explore the role of public-private partnerships in promoting the economic transformation of resource-based cities.

During the start-up phase of the project, a systematic assessment of the capabilities of the relevant industries and sectors involved in the partnership will be processed.

Annex 6 Responsibilities and Mechanism of Project Steering Committee

The Project Steering Committee supervises the progress of project implementation, provides strategic and policy guidance, and is responsible for reviewing the annual work plan and budget. The Project Steering Committee performs duties by holding Project Steering Committee Meetings (regular meetings and ad hoc meetings) and assigning members to participate in project inspections.

The Project Steering Committee is the main decision-making institution for project implementation management. The Project Steering Committee will review the project progress and make recommendations, approve the annual work plan and budget, and submit it to CICETE and UNDP for approval, and make decisions on important issues related to project implementation management such as approval project annual report and other mandatory reports.

1、 Responsibilities of Project Steering Committee

The specific responsibilities of Project Steering Committee include: 1) supervising the achievement of project results and performance (monitoring and evaluation); 2) performing the annual inspection of project implementation, assessing the progress of the project; 3) approving the project's annual work plan and budget and submitting to CICETE and UNDP; 4) approving major adjustments to the project plan; 5) validating the main results of the project; 6) reviewing the final results report submitted by project experts and consultants; 7) coordinating the internal and external relationships, solving the major problems in the implementation process; 8) ensuring coordination among project partners; 9) performing comprehensive evaluation of the project.

2、 Project Steering Committee Chairman and Composition

The Project Steering Committee will be composed of representatives from the following organizations: UNDP, CICETE, leading and coordinating department of Wuhai People's Municipal Government, and Inner Mongolia Guangna Coal Industry (Group) Co., Ltd.

The supporting department for the Project Coordination and Management Office in Wuhai will act as the leading and coordinating department as well as the secretary unit of the Project Steering Committee.

3、 Working Mechanism

The Project Steering Committee will meet annually. The meeting will review the progress of the project and approve the project work plan and major project results. If members of the Project Steering Committee cannot attend, they may express their opinions on major issues to be considered through other means, such as e-mail, WeChat and telephone.

The Project Steering Committee will make decisions on the issues under consideration in the principle of "Unanimous Consent." If no agreement is made after full consultation, taking the responsibilities of UNDP and CICETE'S use of funds into account, UNDP and CICETE will make the final decision on the issues to be considered according to the project approved and in the general principles of the "national execution" model. Minutes of the Project Steering Committee's meetings should be formed. The minutes of the meeting will be the official decision-making documents of the Project Steering Committee after signing by all members of the Project Steering Committee.

4、 Others

The National Project Director of the Project Coordination and Management Office is responsible for the daily management. The National Project Director performs his duties in accordance with the terms of his duties and Director of Project Coordination and Management Office will assist. The National Project Director is responsible for the preparation of the Project Steering Committee Meeting. Any member of the Project Steering Committee has the right to request a temporary meeting on a specific

topic. If there is a request for a temporary meeting of the Project Steering Committee, it is necessary to communicate with the Municipal Project Coordination and Management Office timely.

Annex 7: Terms of Reference for National Project Director

Location: Wuhai City

Duration: Part-time, 15 months in total.

The National Project Director will be responsible for Project Steering Committee and will be responsible for leading the project and coordinate the daily work of Project Management. The National Project Director will be the major member and responsible party for the project implementation and will ensure all funds promised by partners be credited into account in time. The National Project Director will also be responsible for policy support and the coordination and communication among all relevant departments.

Requirement:

1. Education Background: Bachelor Degree, major in environment, finance or other relevant major.
2. Strong management, communication and organization capacity.
3. Basic IT skills (such as Word, Excel, database or other Microsoft software)
4. Capacity of monitoring staffs, coordinating projects and partners from different backgrounds and experiences

Evaluation Criteria:

4. Minimum ten years' experience of technological or management working in economic development planning, finance, mineral resources and environment protection fields.
5. Experience of working in government departments. Clear understanding of governmental decision and policy-making processing.
6. Experience of leading comprehensive planning and interdisciplinary project implementation and management works.
7. Served as senior leader in comprehensive planning, natural resources management or environment protection departments.
8. Capacity of leading and cultivating interdisciplinary team.

Annex 8: Terms of Reference for Director of Project Implementation Office

Location: Project Implementation Office in Wuhai.

Duration: Part-time, 15 months in total.

The director of Project Implementation Office in Wuhai will be responsible for the implementation of the project. The director of Wuhai Municipal Project Implementation Office will facilitate the Director of Project Coordination and Management Office and on behalf of the Project Coordination and Management Office to sign the project semi-annual report, annual report, financial report, work plan and various documents submitted in accordance with management requirements. When the national project director is absent, director of Project Implementation Office in Wuhai will fully exercise the duties of the national project director.

Responsibilities:

Wuhai City Project Implementation Office Director will be executing the following duties:

15. Assisting in the implementation of all project activities and coordination with all partners; when the national project director is absent, participating in the project steering committee meeting and represent the project at the meeting; conducting daily discussions with the project manager and experts on project implementation;
16. Ensuring that the project is implemented in accordance with established policies and implementation procedures, plan project activities in advance and provide the required allocation of funds, personnel and equipment in a timely manner for project implementation;
17. Be responsible for the formulation of the project's annual and quarterly work plans, and apply for project funding in accordance with the procedures of the United Nations Development Programme (UNDP) and the China International Center for Economic and Technical Exchanges (CICETE).
18. Promoting efficient collaboration between the Project Coordination and Management Office, the Project Implementation Office and key project partners, and communicating formally and informally as needed.
19. Be responsible for the expenditure of received project funds and submit financial reports as required.
20. Reviewing technical, financial, and work report of the project prior to release, circulation, or submission; ensuring ensure that work plans are performed in accordance with established timelines, and the process of project monitoring and evaluation is comprehensive and effective.

Requirements:

1. Education Background: Bachelor Degree, major in environment, mining resources, economics or other relevant majors.
2. Strong management, communication and organization capacity.
3. Basic IT skills (such as Word, Excel, database or other Microsoft software)
4. Experience on managing Inter-disciplinary professional team.

Evaluation Criteria:

1. Minimum ten years' experience of technological or management working in economic development planning, finance, mineral resources and environment protection fields.
2. Experience of working in government departments. Clear understanding of governmental decision and policy making processing. Experience of leading comprehensive planning and interdisciplinary project implementation and management works.
3. Served as senior leader in comprehensive planning, natural resources management or environment protection departments.
4. Experience of managing international cooperation project, familiar with the process and requirement of managing and report writing of International cooperation projects.

5. Capacity of establishing and training working group and team spirit

Annex 9: Terms of Reference for Chief Technology Advisor

Location: Project Coordination and Management Office

Duration: 5 Months

The Chief Technology Consultant will be under the supervision of the National Project Director, and will mainly be responsible for providing technical suggestion, making work plan, reviewing quality of project output, directing the project evaluation and report drafting works.

4. Providing technical guidance and suggestions about environment protection, climate change, low carbon development, green finance, capacity building and project implementation and management to staffs and partners.
2. Providing technical guidance for capacity building training course designing. Attending workshops and different level policy and technical meeting.
3. Attending project work plan and process report drafting work as the major technical responsible person.
4. Assisting project manager to draft different kinds of technical report during each phase of project implementation.
5. Promoting cooperation between Project Coordination and Management Office, Project Executive Office and every partner. Formally or informally communicating with them when necessary.
6. Leading and attending implementation of policy planning projects.

Requirement:

4. Master degree, major in ecology, mineral resources, environmental science, finance, society or other relevant majors.
5. Minimum seven years working experience, should be better having working experience in resource-based cities, especially coal-based cities.
6. Proficiency in English writing, presentation and communication.

Evaluation Criteria:

4. Experience of project designing, implementation and management.(Especially management experience)
5. Ever participated in technical policy making.
6. Solid professional skills.
7. Capacity of building and maintaining strategic cooperation relations.
8. Capacity of coordination.
9. Capacity of creation and working individually.
10. Comprehensive IT skills.
11. Understanding management policy and procedure of UNDP and other international organizations

Annex 10: Terms of Reference for Project Manager

Location: Project Implementation Office.

Duration: 52 Months.

The Project Manager will be under the leadership and supervision of The National Project Director, and will be responsible for:

4. Assisting the Director of Wuhai Project Implementation Office in the works of Project Executive Office, coordinating plans and implementation of project activities.
5. Cooperating closely with all parties to ensure the coordination of project partners in the technical direction of the project.
6. Ensuring the project information be shared with all stakeholders in open and transparent approach.
7. Coordinating and developing detailed annual work plans for project implementation, making them conform to the project's expected results and outputs.
8. Managing the project budget under the leadership of the Director of Wuhai Project Implementation Office and ensuring all project implementers submit financial reports in time.
9. Participating in the recruitment of project staffs, subcontract service providers and expert consultants, and be responsible for performance management of staffs, to ensure the project's quality control system is timely and effective.
10. Assisting in procurement and maintenance of project equipment.
11. Monitoring and ensuring partners timely draft and submit quarterly and annual reports, work plans, budget and financial reports timely.
12. Maintaining regular communication with government departments and project partners.
13. Being responsible for projects monitoring and evaluation, assisting in internal and external assessments, sharing experiences and lessons learned from project implementation among partners.
14. Providing technical support for project financing and development of new partnerships.

Requirement:

4. Bachelor degree (master degree is an advantage), majoring in environment, mineral resources, forestry, environmental economics, project management or other relevant majors.
5. Chinese as first language, and English skill should be at professional level.

Evaluation Criteria:

4. Capacity of organization, having project planning and implementation management experience in non-governmental organizations, bilateral or multilateral international organizations.
5. Understanding laws and policy priority national and Inner Mongolia provincial about resource-based city transformation, mine management, climate change, low carbon development, environmental governance, and ecological compensation. Being familiar with the process of formulating government policies.
6. Having advanced knowledge in green finance and sustainable mine management.

7. Experiences in environmental protection-related research, environmental education, public awareness of environmental protection, site assessment, and environmental restoration projects.
8. Strong influence and interpersonal skills.

Annex 11: Terms of Reference for Knowledge Management & Safeguards Officer (UN Volunteer)

Location: Project Implementation Office

Duration: 52 months

The Knowledge Management & Safeguards Officer will be under the guidance and supervision of the Director of Project Implementation Office, and will be responsible for:

Knowledge Management:

1. Preparing and maintaining technical documentation, including milestone reports, technical reports, policy reports, and final deliverable Outcome Report.
2. Examining documents and validate data integrity and accuracy and resolve differences between expert mission outline and actual deliverable.
3. Maintaining electronic document management systems and hard copy documents to ensure that electronic document pipelines meet the required standards.
4. Analyzing the policy environment and maintaining the consistency between project achievements and policies.
5. Instruct and manage experts responsible for policy consulting tasks.
6. Promotion and advocacy of the outcomes of this project.

Social and Environment Safeguards

1. Provide technical expertise on key issues related to environmental and social impact assessment and on sustainability risks in the implementation and supervision of the project taking into consideration best industry practices and standards;
2. Identify all key potential social and environmental impacts and risks of a project and ensure that their magnitude and significance are well understood;
3. Design and incorporate into Environmental and Social Management Framework (ESMF) and project effective and feasible measures to avoid, minimize, and mitigate the adverse environmental and social impacts. Ensure that the stakeholder's understands the applicable safeguard policies, guidelines and project-specific requirements, and has the necessary commitment and capacity to manage social and environmental impacts and/or risks adequately and supported by mechanisms that facilitate implementation;
4. Supervise projects to ensure implementation of mitigation measures.
5. Conduct consultations with stakeholders in accordance with relevant policies and guidelines;
6. Provide stakeholders with capacity building on social and environment safeguards related topics by designing and piloting information sharing schemes;
7. Report on and disseminate good practices and generated knowledge.

Requirement:

1. Bachelor degree (master degree is an advantage), majoring in environment, mineral resources, forestry, environmental economics, project management or other relevant majors.
2. Chinese as first Language, and English skill should be at professional level, especially report writing skill.

Evaluation Criteria:

4. Knowledge management, publicity and policy advocacy experience in non-governmental organizations, bilateral or multilateral international organizations.
5. Understanding the principles of knowledge management, being familiar with the laws and regulations of information data management and be sensitive to information transparency and intellectual property management.
6. Experience in using traditional and social media to promote sustainable development information;
7. Having rich media resources, as well as experience in planning and implementing environmental education, public awareness of environmental protection, policy advocacy activities and roadshows activities.
8. Strong influence and interpersonal skills.

Annex 12: Terms of Reference for M&E Task force

Location: not specific located as the members of the M&E Task Force are from UNDP, CICETE, PSC, PCMO, PIO

Duration: Full project life cycle

The M&E Task force will be under the supervision of the National Project Director, and will mainly be responsible for providing technical support in monitoring and evaluation, risk management and gender mainstreaming during project implementation. In addition, the M&E Task force shall establish Environmental and Social Management Framework (ESMF) and a Grievance Redress Mechanism (GRM). The M&E Task force will be responsible for:

1. Monitoring overall project implementation with respect to progress and updates of projects, delivery, objectives, outputs and indicators.
2. Analyzing the quantitative data and qualitative information to evaluate the performance of each activities/outputs.
3. Providing information and quality assurance for periodical reports and Annual Project Review on the project progress.
4. Ensuring timely submission of project Annual Work Plans, quarterly reports, annual project reports, etc.
5. Ensuring that gender equality and parity is mainstreamed within all project activities and is reported upon.
6. Ensuring that the risks (environmental, social, reputation and similar) identified in the Project Document as well as in the implementation phase are assessed and managed.
7. Developing an Environmental and Social Management Framework (ESMF) and establishing a Grievance Redress Mechanism (GRM) for the project