**THE SEA IS GONE, PEOPLE ARE NOT**

UN MULTI-PARTNER HUMAN SECURITY TRUST FUND
FOR THE ARAL SEA REGION IN UZBEKISTAN

# Operations Manual

## 2019

*This Operations Manual is not a legal document. The Manual describes the governance structure and the operating principles, guidelines and procedures for the day-to-day operations of the Aral Sea MPHSTF. In case of conflict, the terms set out in the Administrative Agreement take precedence over this Manual.*

# CONTENT

Annexes

Annex 1.   MPHSTF Steering Committee Terms of Reference
Annex 2.   MPHSTF Results Matrix
Annex 3.   Risk Assessment Tool for Private Sector Contributions
Annex 4.   Proposal Submission and Assessment Form
Annex 5.   Standard Product Document
Annex 6.   Annual Progress Report for Participating UN Organizations
Annex 7.   Fund Level Annual Progress Report Outline
Annex 8.   Final Narrative Report.

# I. Objectives of the MPHSTF

## 1.1. Introduction

The Aral Sea was the fourth largest lake in the world until the 1960s. The drying of the Aral Sea is a catastrophe for communities and people living on its former shores. The Aral Sea disaster resulted in land degradation and desertification, shortage of drinking water, malnutrition, deteriorating health and high poverty rates of the affected population. The socio-economic and environmental consequences are further complicated by the speed of negative changes taking effect.

The 2030 Development Agenda puts a strong emphasis on "leaving no one behind", and on focusing first on populations lagging furthest in development. In order to operationalize human security into programmes and policies, four key principles need to be applied, both to the process and outcome of programmes and policies.

The Theory of Change has identified six clusters of inter-related problems:

**Environmental insecurity** associated with the consequences of the Aral Sea crisis, the deterioration of the conditions and the quality of land and water resources, air basin, water supply. The underlying causes are toxic dust from the dried seabed, high levels of soil salinity, and poor and irregular water supply. These factors have a direct impact on the health and welfare of the population.

**Economic insecurity**, characterized by limited formal employment possibilities, and a lack of other income-generating opportunities of the agriculture-oriented region and the resulting imbalance in the food consumption structure. Moreover, the low level of investments in infrastructure and private sector development, as well as the low levels of knowledge and skills negatively contribute to this situation.

**Food insecurity,** characterized by a poor selection of basic foodstuff due to the poor land quality, the deteriorating state of the irrigated lands and water resources, and the lack of safe drinking water. Moreover, unsuitable agricultural practices, poor transportation infrastructure, and high import prices are underlying causes.

**Health insecurity**, characterized by malnutrition, an unsafe environment due to dust storms and shortages of safe drinking water, lack of access to high-quality health services, and insufficient supply of pharmaceuticals. The lack of qualified physicians, high cost of medicine, the isolation of the population, lack of awareness on health behavior negatively impact the health of population, especially women and girls.

**Social insecurity**, characterized by poor living conditions, and the lack of municipal services, and inadequate housing, which affect the wellbeing of households and disproportionately affects women and children. Low quality and distance of education facilities and the high cost of construction present further challenges.

**Ineffectiveness of donor assistance**, uncoordinated efforts cause duplication of assistance, while the insufficient prioritization of the Aral Sea region by donors leads to very limited contributions. The situation is further exacerbated by the lack of an overall strategy and the lack of consolidated database of development interventions.

Most of these challenges are exacerbated by the structural issues, including weak institutions and low capacity (in terms of lacking institutional performance, adaptability and inter-agency collaboration), low population density in the region, and the further degradation of the environmental situation triggered by the Aral Sea disaster.

## 1.2. Purpose

The *UN Multi-Partner Human Security Trust Fund For The Aral Sea Region In Uzbekistan* (MPHSTF) seeks to significantly contribute to building the resilience of communities affected by the Aral Sea disaster through ensuring effective governance and coordination of specific interventions of all development partners. In order to achieve the socio-economic transformation required to build the resilience of population, development co-benefits are also to be generated. In line with the Busan development effectiveness principles on local ownership, a focus on results, partnership of development partners, and transparency of aid, the mission of the MPHSTF is to make positive contribution in the area of development coordination, including through the following:

- Development and implementation of the **unified strategy** for development assistance to the Aral Sea region in cooperation with development partners based on the needs assessment of the region (demand) and the capacity of the donors (supply), which is expected to increase coherence;
- Intensification and raising the **regional and international dialogue** between donors and the Government of Uzbekistan on addressing the Aral Sea issues to a qualitatively new level, promoting the interest and attention of development partners to the Aral Sea problem;
- **Mobilization and increasing of funds** under the integrated, yet flexible arrangement, as well as **strengthening the coordination** of activities among the UN agencies;
- Introduction of effective project selection and approval procedures that will channel donor contributions within an **integrated and coherent framework**, depending on their own resources and financial potential. This will allow donors with limited financial potential to participate in the implementation of large projects through a co-financing scheme. Certain donors may be engaged in the fund's outcome areas, even if their own Strategy does not embrace the problems of the Aral Sea region;
- Ensure the **transparency of financial transactions** and increase the confidence of development partners in relation to partner organizations in the Republic of Uzbekistan;
- Build the **capacity of national organizations** in developing quality project proposals and implementing development initiatives in accordance with international standards;
- Conduct regular **monitoring, evaluation and reporting** on the MPHSTF activities as well as projects in accordance with international and national requirements and legislation.

## 1.3. Geographic Scope

At the initial stage the activities within MPHSTF full focus on the Autonomous Republic of Karakalpakstan and Khorezm region – the epicenter of the Aral Sea catastrophe. However, at a later stage the geographic scope of the Fund might include Bukhara and Navoiy regions because consequences of the catastrophe are felt in these regions as well.

## 1.4. Results

The MPHSTF is devoted to interventions that are based on the vulnerabilities and insecurities of people of the region; that are integrated and necessitate coordination between donors and levels; that show results because they are context specific; and are sustainable and long term. The MPHSTF contributes to the UNDAF through the following five outcomes:

**Outcome 1:** The stress on local communities due to the deteriorating environmental situation reduced.
**Outcome 2:** The employment and income generation opportunities for local communities increased.
**Outcome 3:** Local community access to affordable and healthy food and clean drinking water secured.
**Outcome 4:** The overall health of the local population improved and healthy lifestyle promoted.
**Outcome 5:** The living conditions of local populations improved, with particular focus on vulnerable groups such as women, children and youth.

## II.    Governance Arrangements

The MPHSTF is established by PUNOs (PUNOs) that take full programmatic and financial accountability over the funds transferred to them.

The MPHSTF governance arrangements (see Figure 1) provide for an efficient and effective decision-making and oversight framework, ensuring streamlined allocation processes and clear lines of accountability. The governance arrangements are built on and informed by the principles of inclusiveness, transparency, accountability, and consensus-based decisions.

The MPHSTF is governed by a Steering Committee (SC) and supported by a Technical Secretariat (TS). Dialogue with key representatives of other donors, government organizations, and civil society networks are held by the SC periodically to foster cooperation and a shared vision.

**Figure 1.** Fund Governance and Financial Architecture
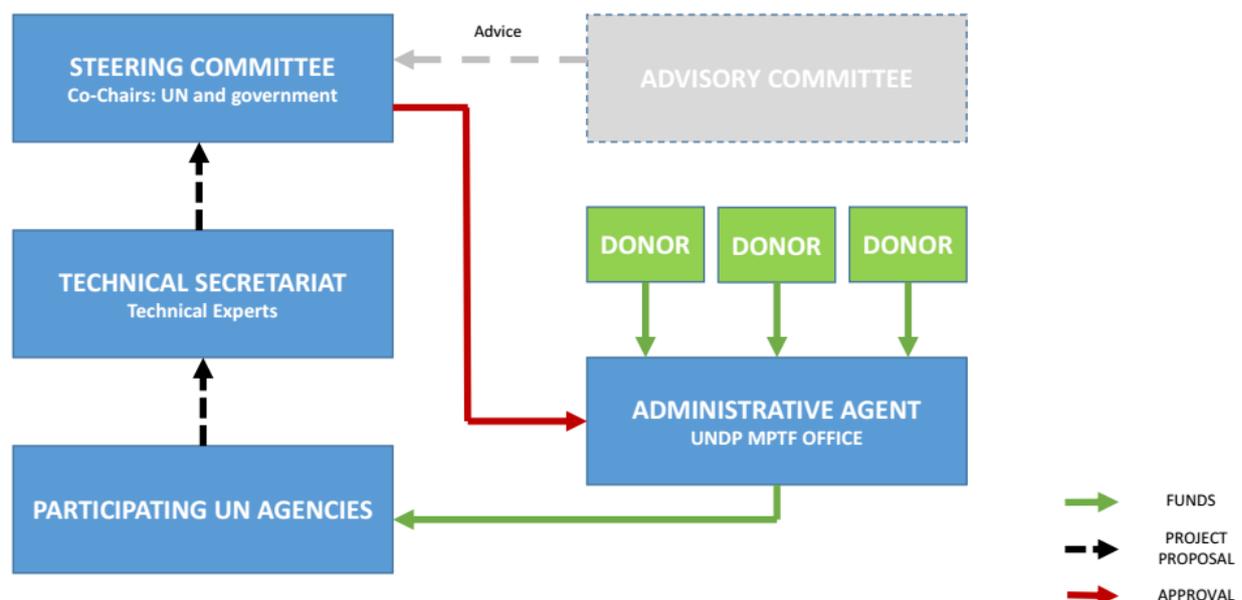


### 1.1.    Steering Committee

The SC has overall responsibility for the Aral Sea MPHSTF. It is responsible for leadership, strategic direction, and decisions on eligibility, allocation and other managerial and oversight aspects.

The SC meets semi-annually and decides by consensus. In case of non-consensus, the co-Chairs can make recommendations based on the views of the members. The SC will have a quorum when the Chairs and at least fifty per cent of its other members are present.

The Secretariat will notify members of the SC at least 15 business days in advance of any upcoming meetings and will submit background documentation at least 10 business days in advance.

The full functions of the SC are detailed in the SC Terms of References.

**Composition:**

The SC is co-chaired by the High-Level Government representative and the UN Resident Coordinator (RC). Members include 2 representatives of donors (on rotational bases) contributing to the MPHSTF, 2 civil society members (on rotational bases), 5 Participating UN Organizations (PUNOs), and 2 national government representatives. The Administrative Agent (AA) and Technical Secretariat (TS) are ex-officio members of the SC. The SC composition will ensure the principles of national ownership, inclusiveness and balanced representation, as well as the need to have a manageable size for decision-making effectiveness. The Terms of Reference of the Steering Committee can be found in Annex 1.

## 1.2. Co-Chairs

The SC is co-chaired by the High-Level Government representative and the UN Resident Coordinator in Uzbekistan. The role of the Co-Chairs is to:

- Make sure that the decisions taken by the SC are in accordance with the regulatory requirements and frameworks of the PUNOs and agreements with the programme country and donors;
- Ensure that the decisions taken by the SC are duly recorded and promptly communicated to the members of the SC, including PUNOs, the programme country, and donors, as appropriate;
- Monitor the implementation of the decisions of the SC;
- Report to the MDTF Fiduciary Management Oversight Group on the evolving risks and to flag issues that may affect the implementation of the decisions of the SC or otherwise impede the operations of the Fund;

The UN Co-Chair, representing the SC, is accountable to the Chair of the MDTF Fiduciary Management Oversight Group for inter-agency fiduciary issues related to the PUNOs.

## 1.3. Advisory Committee

At a later stage the SC might consider the establishment of an Advisory Committee, which would serve as an information-sharing forum once the number of donors and PUNOs becomes so large, that their inclusion in the SC would no longer be feasible. The composition of the Advisory Committee will be decided at a later stage, and will be guided by considerations of transparency and inclusiveness. The establishment of an Advisory Committee will not change the key tasks and responsibilities of the SC.

## 1.4. Technical Secretariat

In order to ensure good programming the MPHSTF is supported by the Technical Secretariat (TS). The TS provides technical, operational and administrative support to the MPHSTF SC and works under its overall guidance. The TS supports the entire programming cycle of the MPHSTF with a workplan and budget reviewed annually by the SC.

The TS also provides advice and quality control over the MPHSTF implementation and coordinates the meetings. It facilitates collaboration and communication between the Government of Uzbekistan, PUNOs, contributing donors and the co-chairs of the

MPHSTF. It develops and implements a resource mobilization strategy to attract investments from other donors.

A key role of the TS is to review the submission of projects/proposals to the SC. As may be necessary, the TS may organize independent technical review of proposals, for which independent consultant will be recruited. The TS is responsible for reporting on the implementation of funded projects. The full functions of the TS are detailed in the TS Terms of References.

**Key Tasks and Responsibilities:**
- Coordination of efforts within MPHSTF, including the implementation of decisions made by the SC;
- Elaborate an Operations Manual, in accordance with the signed legal agreements, and ensure compliance with it;
- Plan and prepare the meetings of the SC and hold records of decisions through minutes of the meetings;
- Coordinate projects/programmes eligibility and allocation processes, including any calls for proposals;
- Provide advice and recommendations (in close collaboration with the AA) to the SC on implementation performance, and cash management planning;
- Submit Fund Transfer Requests, approved by the SC, to the AA;
- Oversee the design, development and maintenance of one integrated platform for programme design, management and reporting;
- Ensure monitoring and control of operational risks (update the risk monitoring matrix regularly);
- Consolidate the narrative annual and final reports submitted by PUNOs and present the consolidated report to the SC for review.
- Support coordination of efforts with the Government of Uzbekistan and other development actors rendering assistance to the Aral Sea region to avoid overlapping and duplication;
- Liaise with the AA on MPHSTF administration issues, including issues related to MPHSTF extension and closure;
- Within the MPHSTF M&E system, advise the PUNOs on appropriate performance indicators and data gathering, consolidate the information received from the PUNOs into a central results-based management system;
- Monitor and evaluate the implementation of projects/programmes against the programmatic framework of the MPHSTF.


**Composition:**
The TS will be hosted at the UNDP CO in Uzbekistan and comprised of the following technical experts. The decision on location of the TS will be decided within the first SC meeting after official launch of the MPHSTFTS:
- Chief Technical Advisor – Head of the Secretariat
- Reporting Officer
- Coordination Officer

- Resource Mobilization and Outreach Specialist
- Monitoring and Evaluation Specialist
- Consultants (as required)

The TS structure can be reviewed by the SC and decided upon to reflect needs and budget availability. The budget required to perform the functions of the TS throughout the MPHSTF's lifecycle will be agreed upon annually by the SC. As a rule of thumb, the TS costs are not to exceed 3% of total fund capitalization.

## 1.5.    Participating UN Organizations

MPHSTF implementation is the responsibility of the PUNOs. Each organization, after signing a Memorandum of Understanding with the AA, can receive resources from the MPHSTF. Each PUNO is programmatically and financially responsible for MPHSTF resources received in accordance with its own regulations, rules, policies and procedures.

PUNOs develop project/programme proposals, and report on implementation and financial performance to the SC through the TS and the AA as indicated in the MOU. PUNOs shall have operating capacity for the prompt implementation of projects/programmes approved by the SC.

Each PUNO uses the funds disbursed to it by the AA to carry out the activities for which it is responsible as set out in the approved programmatic document, as well as for its indirect costs. The PUNOs will commence and continue to conduct operations for the Fund activities only upon receipt of disbursements. The PUNOs will not make any commitments above the amount disbursed against the approved programmatic document. If there is a need to exceed the amount disbursed, the PUNO concerned will submit a supplementary budget request to the SC showing the further financing that will be necessary.  If no such further financing is available, the activities to be carried out under the approved programmatic document may be reduced or, if necessary, terminated by the PUNO.

Indirect costs of the PUNOs recovered through programme support costs is seven percent (7%).  All other costs incurred by each PUNO in carrying out the activities for which it is responsible under the Fund will be recovered as direct costs. Each PUNO establishes a separate ledger account under its financial regulations and rules for the receipt and administration of the funds disbursed to it by the AA from the Fund Account. That separate ledger account is administered by each PUNO in accordance with its own regulations, rules, policies and procedures, including those relating to interest.

The PUNOs recognize that each of the donors signing an Administrative Arrangement has reserved the right to discontinue future deposits of its contribution if there is: (i) failure to fulfil any obligations under the Administrative Arrangement; (ii) if there are substantial revisions of the TOR; or (iii) if there are credible allegations of improper use of the funds in accordance with Section VII of the Memorandum of Understanding; provided however that before doing so, the AA, the SC  and the donor will consult with a view to promptly resolving the matter.

## 1.6. Administrative Agent

The MPHSTF will be administered by the UNDP's Multi-Partner Trust Fund Office acting as the AA. The AA is entitled to allocate an administrative fee of one percent (1%) of the amount contributed by each donor to meet the costs of performing the AA's standard functions as described in the MOU concluded between AA and PUNOs following UNDG standard formats.

The MPTF Office is responsible for Fund design and set-up, maintenance of the Fund account, receipt of donor contributions, and disbursement of funds upon instructions from the SC, and provision of periodic consolidated reports. Subject to the availability of funds, the AA shall normally make each disbursement to the PUNO within three to five business days after receipt of the Fund Transfer Request.

In addition, the MPTF Office through its GATEWAY (http://mptf.undp.org/) offers a web-based service portal, which provides real-time financial data generated directly from its accounting system. It provides all partners and the general public with the ability to track information on contributions, transfers and expenditures. Further details on the function of the AA are available on the MPTFO website.

## 1.7. Donors

The MPHSTF is funded through contributions of the Government, bi-lateral or multi-lateral donors, and International Financial Institutions.

Unearmarked contributions are encouraged to enable targeted and timely decision-making on funding priority projects/programmes within the framework of the MPHSTF. This approach also keeps transaction costs of the fund to a minimum. If unearmarked contributions are not possible, earmarked contributions can be made; however, earmarking of donor contributions can only be done at the level of Fund outcomes (not a particular agency or output) in accordance with UNDG rules.

Contributions to the MPHSTF are deposited in US dollars. Additional contributions may be accepted only in fully convertible currency. Such contributions are deposited into the bank account designated by the AA. The value of a contribution payment, if made in other than US dollars, is determined by applying the UN operational rate of exchange in effect on the date of payment.

## 1.8. Government

The role of the Government of the Republic of Uzbekistan in supporting effective operation of the MPHSTF focuses on the creation of favorable institutional, legal and financial conditions. The active participation of the Government in the formation of the fund is a signal intended to attract more potential donors to the fund, and to increase the importance of the Aral disaster problem internationally. The UN assists the Government in its interaction with donors and international financial institutions, thus facilitating the mobilization of resources within the framework of the MPHSTF strategy.

Also, the Government can encourage the participation of private business in the formation of the fund's resources by providing tax or other privileges to private enterprises. Acceptance of funds from the private sector will be guided by the criteria

stipulated in the UN system-wide guidelines on cooperation between the UN and the Business Community (UN Secretary General's guidelines).

# III.   Administration

The administration of the MPHSTF is guided by the Operations Manual, which is not a legal document. In case of conflict, the terms set out in legal agreements, i.e. the Administrative Agreement and the MOUs with PUNOs, take precedence over this Manual.

## 1.1.   Operational Modalities

The MPHSTF will be formally established upon signature of Memorandum of Understanding between the UN MPTF Office and the PUNOs designating the UNDP's MPTF Office as the AA. The MPHSTF starts its operational activities upon signature of a funding agreement between at least one donor and the AA.

The initial duration of the MPHSTF is five years, starting on 12 November 2018 until 31 December 2023. Once funding has been received, the SC is convened by the co-Chairs for the first time.  During the Funds operational period PUNOs will be invited to submit proposals to the TS upon issuance of a Call for Proposal. The MPHSTF SC allocates funds to PUNOs based on their proposals.

Given the fist contribution to the Fund is small, the Steering Committee might endorse list of potential projects for funding at its first meeting convened after the first contribution to the Trust Fund in order to speed up its operational launch.

## 1.2.   Project Approval Cycle



The TS as needed will create a team/panel of technical experts to review the proposals submitted by PUNOs and ensure that all the required information is included in the standard proposal, that that they contribute to overall fund result, and that they meet the fund selection criteria.   All proposals must meet the minimum threshold of US$100,000 per PUNO. The Secretariat will present the findings of its Technical Appraisal of Proposals to the SC, along with all relevant project documentation.

At its regular meetings, the SC will render a decision on funding allocations to each proposal, considering the findings of the TS appraisal. The SC shall have access to all information it deems relevant in making its decision. If the SC rejects a proposal or if it requests further study or review it shall communicate its decision or request to the TS to take the appropriate follow up action.  The Steering Committee may decide to:

a)   *Approve* the proposal;

b) *Approve Conditionally*, subject to modification and re-submission;

c) *Defer*, with comments for further consideration, or;

d) *Reject*

Upon approval of a proposal the SC, through the TS, will advise the AA to disburse the authorized amount to the PUNOs. The request to transfer funds will be signed by the Co-Chairs of the SC and must include all relevant documentation to enable a disbursement. The AA will disburse the authorized amounts to PUNOs within five business days of receiving all the required documentation and instructions from the SC.

Each PUNO will ensure the TS and AA is advised in writing when all activities for which it is responsible under the approved programmatic document have been operationally completed. Financial closure must be completed within eighteen (18) months after operational closure or according to the time period specified in the financial regulations and rules of the PUNO, whichever one comes first.

## 1.3. Selection Criteria

MPHSTF funds will be directed towards developing and piloting new and innovative methods of solving problems, and the piloting of economic and business projects. Successful pilot projects will be presented to the Government, the donor community and the business sector for further replication and scaling in the Aral Sea region and beyond.

To be considered by the Fund, projects must utilize MPHSTF resources efficiently, leverage additional funding whenever possible, and meet the following criteria:

People-centered:

> ➤ Based on an assessment of the needs, capacities and insecurities of people as well as the risks of the region;
> ➤ Designed, implemented and evaluated with the help of the communities, building on people's own aspirations and capabilities
> ➤ Involving and mobilizing communities for problem identification, planning, implementation and evaluation and ensuring participation.
> ➤ Promote equal opportunities for men and women and ensure mainstreaming gender equality in proposed activities.

Context-specific:

> ➤ Designed based on the conditions of the Aral Sea region and on knowledge of the situation of communities targeted
> ➤ Differentiated consideration of the needs of the population at the level of each aul, kishlak, makhalla, rural areas, based on environmental factors, population distribution and transport accessibility
> ➤ Developed on the basis of community development plans for targeted localities.
> ➤ Ensuring sustainability (water, air, soil, remoteness) and support the mitigation of adverse effects

<u>Integrated solutions:</u>

➢ Based on the MPHSTF Theory of Change and not prepared in isolation
➢ Strategic and multidimensional, so that interventions target several insecurities at the same time
➢ Concentrating all interventions in the same area/with the same community, piloting around specific geographic area
➢ Implementing interventions through consortiums and partnerships of providers from different sectors and with different specializations in order to link interventions across different insecurity areas

<u>Innovative:</u>

➢ Focusing on technology transfer and the piloting of new approaches
➢ Investing in ICTs and research and development opportunities for the region
➢ Developing new public-private partnerships, including with the government, to ensure protection and empowerment for the long term

## 1.4.    Standard workflow

As indicated above, the resources will be held by the AA in a dedicated fund account. The funds in this account will be transferred to PUNOs by the AA based on instructions from the SC. Implementing agencies, represented by UN agencies participating in the activities of the MPHSTF will have to open ledger accounts to receive these funds.

The PUNOs, upon receipt of a confirmation of funds transfer into their ledger accounts, will transfer these funds into the accounts of the implementing agencies (government agencies, NGOs, etc.) that will actually implement projects/programs within the framework of a unified strategy on the ground.

Indirect costs of PUNOs recovered through programme support costs will be 7%. All other costs incurred by each PUNO in carrying out the activities for which it is responsible under the Fund will be recovered as direct costs.

The minimum size of individual transfers from the AA to the PUNOs during the implementation phase should be at least $100,000 per individual transfer to reduce transaction costs. Transfers can be smaller during the last year of the programmatic framework, when the final round of allocations is made. It is recommended to limit the number of transfer rounds per year so that each project funded from the MPHSTF receives funding at maximum only once per year.

**Parallel funding mechanism:**
In some instances, donor might be interested to finance projects in line with the MPHSTF strategy, but are unable become donor to the MPHSTF. Parallel funding occurs whenever the money is <u>not</u> deposited with the AA and allocation decisions are <u>not</u> made by the SC. In such a case, contributions will be sent directly by the donor to implementers. Donors are encouraged to inform and coordinate with the SC to ensure that their donations are aligned with the MPHSTF Terms of Reference, and relevant national and local government priorities. The development strategy can also include

projects or programmes to be financed by loans of international and national financial institutions.

## 1.5.  Revisions/extensions

If there are unforeseen circumstances that would require revisions of extension of their projects/programmes, Participating Organizations may request an extension through the TS, at least 3 months in advance.  The revision extension request will be submitted to the TS who will review the proposal and submit it to the Steering Committee for decision.   Upon approval, the Secretariat will obtain the signature of the Steering Committee chairperson and submit it to the Administrative Agent for updating the project end date.

## 1.6.  Reporting

For each programme/project approved for funding, each PUNO provides the AA with annual and final financial reports and financial statements prepared in accordance with their accounting and reporting procedures, as stated in the legal agreements signed with the AA. The responsibilities related to reporting are detailed in the Memorandum of Understanding. All PUNOs prepare annual and final reports on activities and expenditures according to a common format designed for the MPHSTF. Ad hoc periodic reports may also be requested by the SC when required.

**Narrative report.** The PUNOs submit the following programme reports to the TS for consolidation and further transmission to the SC, and the AA:

a) Annual narrative reports for each programme to be provided no more than three months (March 31st) after the end of the calendar year;
b) Final narrative reports after the end of activities contained in the program-related approved document, including the final year of such activities, to be submitted no more than four months (April 30th) in the following year after the operational closure of the programme.

Annual and final reports should demonstrate results based on evidence. Annual and final narrative reports should compare actual results against estimated results in terms of outputs and outcomes and explain the reasons of higher or lower performance. The final narrative report will also include the analysis of how the outputs and outcomes have contributed to the MPHSTF's impact.

**Financial Report.**  The PUNOs present the following financial statements and reports for each programme to the AA through their Headquarters:

a) Annual financial statements and reports by December 31st, regarding resources released by the MPHSTF to them; these shall be provided no more than four months (April 30th) after the ending of the calendar year;
b) Final certified financial statements and financial reports after the completion of activities contained in the program-related approved document, including the final year of such activities, to be submitted no more than six months (June 30th) in the following year after the operational and financial closure of the MPHSTF.

Based on these reports, the TS will prepare annual consolidated narrative and financial reports, which will be submitted by May 31 to each MPHSTF contributor and to the SC. In order to ensure that the report is available for circulation, the TS will submit the consolidated report to the Administrative Agent no later than 25 May. The Final consolidated report will be provided no later than six months (30 June) after the end of the calendar year in which the operational closure of the MPHSTF occurs.

The AA will provide the donors, SC and PUNOs with the following reports on its activities as AA:

a) Certified annual financial statement ("Source and Use of Funds" as defined by UNDG guidelines) to be provided no later than five months (31 May) after the end of the calendar year; and

b) Certified final financial statement ("Source and Use of Funds") to be provided no later than five months (31 May) after the end of the calendar year in which the financial closing of the Fund occurs.

c) Consolidated reports and related documents will be posted on the websites of the AA (http://mptf.undp.org/).

## 1.7. Monitoring & Evaluation

Monitoring and evaluation of the Fund is carried out in accordance with the national context. A results-based management method is being applied, with overall coordination by the UN system. The continuous monitoring and evaluation will done by the PUNOs and overseen by the TS. The TS monitors and evaluates the implementation of projects/programmes against the programmatic framework of the MPHSTF, consolidates all reporting submitted by PUNOs, and sends consolidated reports to the SC.

The monitoring and evaluation system for the MPHSTF serves two functions: first, periodic assessment of project/programme implementation and performance of activities (M&E of project performance), and second, evaluation of their results in terms of relevance, effectiveness and impact (M&E of project impact).

The TS advises the PUNOs on appropriate performance indicators and data gathering, consolidates the information received from the PUNOs into a central results-based management system. This system gathers performance data at the level of outcomes and outputs, linking program-related and financial result indicators to enable the evaluation of both efficiency and effectiveness of the MPHSTF.

An overall mid-term and final independent evaluation will be commissioned by the SC to assess the overall performance of the MPHSTF, its design, management and overall performance against the objectives. This evaluation may provide specific recommendations to the SC to guide any revision of the Theory of Change, the Governance Arrangement and Programming Cycle if deemed necessary.

Donors may, separately or jointly with other partners, take the initiative to evaluate or review their cooperation with the AA and the PUNOs with a view to determining whether results are being or have been achieved and whether contributions have been used for their intended purposes. The AA and the PUNOs will be informed about such

initiatives, will be consulted on the scope and conduct of such evaluations or reviews and will be invited to join. All costs will be borne by the respective donor, unless otherwise agreed.  It is understood that such evaluations or reviews will not constitute a financial, compliance or other audit of the Fund including any programmes, projects or activities.

## 1.8.    Closure of Fund

The SC can set a date for the operational closure of the fund, which typically coincides with the date the last programme/project that received funding is expected to report back. The TS takes lead in the operational closure of the Fund by monitoring the operational closure dates of the projects on a semiannual basis, and following up with the PUNOs to submit final narrative reports one month after the operational end date of the project.  Projects are operationally closed when all activities have been completed, and the final narrative report is received. The final narrative report is submitted to the Administrative Agent who will change the project status to operationally closed.

Project closure should be initiated in such a way as to permit the orderly conclusion of the activities and the completion of final reports, the withdrawal of personnel, funds and property, the settlement of accounts between the AA and PUNOs, and the settlement of contractual liabilities that are required in respect of any subcontractors, consultants or suppliers.

Any balance remaining in the individual PUNOs' separate ledger accounts after operational completion of the activities for which they are responsible under the approved programmatic document will be returned to the Fund Account as soon as administratively feasible and before financial closure. Any balance remaining in the Fund Account upon completion of the Fund will be used for a purpose mutually agreed upon or returned to the donor(s) in proportion to their contribution to the Fund as decided upon by the donor(s) and the SC. The memorandum of understanding between the AA and PUNOs will expire upon the delivery to the donor(s) of the certified final financial statement.

# IV.  Accountability Framework

All PUNOs provide implementation services in accordance with their own administrative frameworks. Accordingly, personnel will be engaged and administered, equipment, supplies and services purchased, and contracts entered into in accordance with the provisions of such regulations, rules, policies and procedures.

Each PUNO establishes appropriate programmatic safeguard measures in the design and implementation of its Fund activities, thereby promoting the shared values, norms and standards of the United Nations system.  These measures may include, as applicable, the respect of international conventions on the environment, on children's rights, and internationally agreed core labour standards.

Where a PUNO wishes to carry out its Fund activities through or in collaboration with a third party, it will be responsible for discharging all commitments and obligations with such third parties, and no other PUNO, nor the AA, will be responsible for doing so.

## 1.1.  Audits

The activities of the AA and each PUNO in relation to the Fund will be exclusively audited by their respective internal and external auditors in accordance with their own financial regulations and rules as per the Framework for Joint Internal Audits of UN Joint Activities, which has been agreed to by the Internal Audit Services of PUNOs and endorsed by the UNDG in 2014. The internal audit services of the PUNOs involved in the Fund may consider conducting joint internal audits using a risk-based approach and provisions for disclosure of internal audit reports related to the Fund.  In doing so, the internal audit services of the PUNO will consult with the SC.

The corresponding external and internal audit reports will be disclosed publicly unless the relevant policies and procedures of each of the relevant PUNO provide otherwise. The total costs of internal audit activities in relation to the Fund will be borne by the Fund.

The part of the contribution transferred by a PUNO to its implementing partners for activities towards the implementation of the Fund will be audited as provided under that PUNO's financial regulations and rules, as well as its policies and procedures. The disclosure of the corresponding audit reports will be made according to the policies and procedures of that PUNO.

## 1.2.  Transparency and public disclosure.

Each PUNO will take appropriate measures to publicize the Aral Sea MPHSTF and to give due credit to other PUNOs. All related publicity material, official notices, reports and publications, provided to the press or Fund beneficiaries, will acknowledge the role of the host Government, donors, PUNOs, the AA, and any other relevant entities. In particular, the AA will include and ensure due recognition of the role of each PUNO and partners in all external communications related to the Joint Fund.

The AA will develop a dedicated web page on the MPTF Office GATEWAY to ensure appropriate transparency and accountability. In line with the UN's commitment towards public disclosure of its operational activities the MPHSTF for the Aral Sea region web-page will contain real-time information on summaries of SC decisions, contributor commitments and deposits, transfers to the PUNOs, approved programmes and

programmes awaiting approval, funding levels, annual financial and progress reports, and external evaluations, as appropriate.

Whenever possible and to the extent that it does not jeopardize the privileges and immunities of UN Organizations, the UN Organizations will promote donor visibility on information, project materials and at project sites in accordance with their respective regulations, rules, policies and procedures.

## 1.3.    Risk management

The objective of the risk management strategy is to facilitate the achievement of MPHSTF-related objectives considering the risks in the context in which it operates. Based on risks identified, the TS will develop a risk management strategy with the following main objectives: accelerate MPHSTF implementation and increase its impact, ensure that the MPHSTF's interventions meet the "Do No Harm" principles, verify that resources are used for foreseen purposes and improve risk management capacity of national partners.

The risk management strategy will:

- Develop shared understanding of risks faced by the MPHSTF;
- Identify roots and causes of the risks;
- Establish the MPHSTF's policies regarding identified risks;
- Determine risk treatment through measures of mitigation or adaptation;
- Establish information strategies and common messages about the risks.

Every project/programme approved by the MPHSTF shall comply with the risk management strategy. The adherence to this strategy will be one of the selection criteria during the process of programme review. The MPHSTF risk management strategy is however not a replacement for programme risk evaluation/management.

## 1.4.    Settlement of Disputes

The PUNOs and AA will use their best efforts to promptly settle through direct negotiations any dispute, controversy or claim arising out of or in connection with the Memorandum of Understanding or any breach thereof.  Any such dispute, controversy or claim which is not settled within sixty (60) days from the date either participant has notified the other participant of the nature of the dispute, controversy or claim and of the measures which should be taken to rectify it, will be resolved through consultation between the Executive Heads of each of the participants.

# Annex 1. MPHSTF Steering Committee Terms of Reference

The Steering Committee has overall responsibility for the Aral Sea MPHSTF. It is responsible for leadership, strategic direction, and decisions on eligibility, allocation and other managerial and oversight aspects.

The SC meets semi-annually and decides by consensus.

**Composition:**

The Steering Committee (SC) is co-chaired by the High-Level Government representative and the UN Resident Coordinator (RC). Members include 2 representatives of donors (on rotational bases) contributing to the MPHSTF, 2 civil society members (on rotational bases), 5 Participating UN Organizations, and 2 national government representatives. The Administrative Agent and Secretariat will be ex-officio members of the Steering Committee. Steering Committee composition will ensure the principles of national ownership, inclusiveness and balanced representation, as well as the need to have a manageable size for decision-making effectiveness.

**Key Tasks and Responsibilities:**

- To review and approve their Terms of Reference and Operations Manual, based on the generic SC TOR, and update and/or modify them, as necessary, in case of compelling requirements. In case of departures from the generic TOR, the TOR of the SC should be referred for endorsement to the HQs Fiduciary Management Oversight Group;

- For funds earmarked by donors to thematic clusters/sectoral groups[1] or Agencies and prioritized/allocated within thematic clusters, to review and ensure the alignment of the allocations with the strategic development framework of the country and approved national priorities;

- For unearmarked funds, (1) to review and approve the criteria for the allocation of available MPHSTF resources[2] if applicable; (2) to allocate available resources to thematic clusters, making sure that the allocations are aligned with the strategic development framework of the country and approved national priorities. The clusters will be responsible for the prioritization within the cluster allocation;

- To review and approve proposals from PUNOs submitted for funding; ensure their conformity with the requirements of the MPHSTF agreements (MoUs etc). To ensure the quality of proposals to receive funding from the MPHSTF.

- To discuss the MPHSTF requirements and priorities concerning, inter alia: Programme/project management, including consistent and common approaches to programme/project costing, cost recovery, implementation modalities, results-based reporting and impact assessment; and information management including MPHST donor visibility;

- To define Terms of Reference and composition for the thematic clusters/sectoral groups or other similar review bodies.

---

[1] The establishment of formal thematic clusters/sectoral groups may not be applicable to all MDTFs.
[2] The SC Support Office will prepare the criteria for discussion by the SC.

- To ensure appropriate consultative processes take place with key stakeholders at the country level so as to avoid duplication or overlap between the MPHSTF and other funding mechanisms;

- To review and approve the periodic progress reports (programmatic and financial) consolidated by the Administrative Agent based on the progress reports submitted by the PUNOs. To ensure consistency in reporting between clusters; Consolidated annual reports should include a section on the activity of the Steering Committee.

- To review findings of the summary audit reports consolidated by the internal audit service of the Administrative Agent. To highlight lessons learnt and periodically discuss follow up by Participating Agencies on recommended actions that have MPHSTF-wide impact;

- To agree on the scope and frequency of the independent "lessons-learned and review" of the MPHSTF commissioned by the SC, in consultation with the HQ Fiduciary Management Oversight Group.

- To review the draft/final reports on lessons learnt, ensure the implementation of recommendations and identify critical issues for consideration by the HQs Fiduciary Management Oversight Group (to be brought up to the ASG Group, if/as required).

**Decisions:**

The Steering Committee makes decisions by consensus. Decisions of the Steering Committee shall be duly recorded. In case of non-consensus, the co-Chairs can make recommendations based on the views of the members. The SC will have a quorum when the Chairs and at least fifty per cent of its other members are present.

The Secretariat will notify members of the SC at least 15 business days in advance of any upcoming meetings and will submit background documentation at least 10 business days in advance.

Prior to presenting their position on a significant issue to the SC, its UN members have to make sure that it is endorsed internally by their Agencies and is in line with their Agencies' regulatory requirements.

Decisions on programme/project proposals will only be taken upon completion of a review by the appropriate thematic clusters, sectoral working groups or other SC agreed review bodies.

**Role of the co-chairs of the Steering Committee:**

- To make sure that the decisions taken by the Steering Committee are in accordance with the regulatory requirements and frameworks of the PUNOs and agreements with the programme country and donors;

- To ensure that the decisions taken by the Steering Committee are duly recorded and promptly communicated to the members of the Steering Committee, including PUNOs, the programme country, and donors, as appropriate;

- To monitor the implementation of the decisions of the Steering Committee;

- To report to the MDTF Fiduciary Management Oversight Group on the evolving risks and to flag issues that may affect the implementation of the decisions of the Steering Committee or otherwise impede the operations of the Fund;

The UN co-Chair, representing the SC, is accountable to the Chair of the MDTF Fiduciary Management Oversight Group, representing the Committee, for the inter-agency fiduciary issues related to the Participating UN Agencies on issues related to funding through the UN for the MDTF activities.

In exceptional circumstances and in agreement with the co-Chairs, email proposals will be considered

# Annex 2. Results Matrix

**Project Duration: 2019-2023**

**Total funding requested: US$ 123.2 million**

| SDG 3 – Ensure healthy lives and promote well-being for all at all ages (targets 3.4, 3.8, 3.C)<br>SDG 8 – Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all (targets 8.2, 8.4, 8.5)<br>SDG 11 – Make cities and human settlements inclusive, safe, resilient and sustainable (targets 11.2, 11.5, 11.A) | | | | |
|---|---|---|---|---|
| **OUTCOME 1: The stress on local communities due to the deteriorating environmental situation reduced** | | **Baseline (for Karakalpakstan)** | **Means of verification** | **Frequency** |
| # of hectares of arable land increased, thousand ha | | 509,6 | Goscomcadastr data | Once a year |
| public satisfaction of environmental policy, % | | 16,4 | Needs assessment (2017) | At the end of the project (2023) |
| **Output** | | **Output Indicators** | | | |
| 1 | Local management practices and knowledge of ecosystem services are improved | % of communities with access to ecosystem services | TBD | Operational research | Operational research should be conducted |
| 2 | New technologies in the area of water purification, agroforestry, afforestation, and soil stabilization are piloted | # of pilot projects that test out new technologies adjusted to local conditions | 0 | Project reports | Once a year |
| | | Area of desert lands covered by forest stands, thousand ha | 3200 | State committee on forestry data (2018) | Once a year |
| | | # of households with improved quality of irrigation water | 3366 | UNDP AF project (March 1, 2019) Projects reports | Once a year |
| | | Area of restored tugai forests, thousand ha | 120 | State committee on forestry data (2018) | Once a year |
| 3 | The quality of water, air and soil pollution is monitored and addressed through local regulatory practices | # of newly established or improved environmental quality checks | 0 | Uzhydromet data (2018) | Once a year |
| | | # of base stations monitoring the climate in the Aral Sea region | 16 | Uzhydromet data (2018) | Once a year |

| | | | Baseline | Means of verification | Frequency |
|---|---|---|---|---|---|
| | | % of water/air quality monitoring laboratories regularly reporting through the automated surveillance system | 0 | Uzhydromet data (2018) | Once a year |
| **OUTCOME 2: The employment and income generation opportunities for local communities increased** | | | **Baseline** | **Means of verification** | **Frequency** |
| % of population that is economically active | | | 62,0 | State statistics | Once a year |
| # of new business initiatives started | | | 18 | Project reports (UN JP, 2018) | Once a year |
| **Output** | | **Output Indicators** | | | |
| 4 | New income opportunities in sectors adjusted to local conditions (e.g. agriculture, ethno-tourism, infrastructure and housing construction, service industry) are created | # of small and medium-sized companies created with support of the MPHSTF | 0 | Project reports | Once a year |
| | | # of jobs created in target communities per year | 78 | Project reports (UN JP, 2018) | Once a year |
| 5 | Skills and knowledge of local communities to participate in new industries are to become entrepreneurs, as well as, adaptability to new work conditions for employability are improved | % of people surveyed that are satisfied with their skills levels | 61,8 | Needs assessment (2017) | At the end of the project (2023) |
| | | # of people trained and retrained in the specialized centers to improve and develop their entrepreneurial skills/knowledge | 0 | Training records | Once a year |
| 6 | Investments in local infrastructure serving local communities (e.g. energy, access roads, service industry, banking) are increased | amount of investments in local infrastructure with support of the MPHSTF, mln USD | 0 | Project reports | Once a year |
| | | % of people surveyed that are satisfied with trade services | 51,2 | Needs assessment (2017) | At the end of the project (2023) |
| | | % of people surveyed that are satisfied with the services of banking and financial institutions | 54,5 | Needs assessment (2017) | At the end of the project (2023) |
| **OUTCOME 3: Local community access to affordable and healthy food and clean drinking water secured** | | | **Baseline** | **Means of verification** | **Frequency** |
| drinking water supply of houses (apartments),% | | | 48,2 | State statistic | Once a year |
| % reduction in malnourishment of local population:<br>- **percentage of children under 5 years age who are wasted due to malnutrition** | | | 0,23 | State statistic, 2018 | Once a year |
| % of household budget spent on food | | | 60 | Needs assessment (2017) | At the end of the project (2023) |

| Output | | Output Indicators | | | | |
|---|---|---|---|---|---|---|
| **7** | Local infrastructure investments for access and distribution of clean water are increased | amount of investments in water access and distribution infrastructure with support of the MPHSTF, mln USD | 0 | Project reports | Once a year |
| | | % of people surveyed that are satisfied with access to drinking water | 33,8 | Needs assessment (2017) | At the end of the project (2023) |
| **8** | Local production, processing, storage and sale of diverse, affordable and high-quality food is increased | % increase in local production of food with support of the MPHSTF | 0 | Project reports | Once a year |
| | | # of created of networks of fruits and vegetables fridge-storage | 10 | Sovmin RK data, Project reports | Once a year |
| **9** | The quality of nutrition is increased through standardization, regulation, monitoring, information, and education | # of newly established or improved food quality checks with support of the MPHSTF | 0 | Project reports | Once a year |
| | | # of new crop varieties, adapted and resistant to harsh climatic conditions with support of the MPHSTF | 0 | Project reports | Once a year |
| | | # of newly established or improved biological laboratories with support of the MPHSTF for protection of plants and the prevention of diseases arising from environmental influences | 0 | Project reports | Once a year |

| **OUTCOME 4: The overall health of the local population improved and healthy lifestyle promoted** | | **Baseline** | **Means of verification** | **Frequency** |
|---|---|---|---|---|
| % reduction in infant and maternal mortality:<br>- infant mortality rate (up to 1 year, per 1000 live-born)<br>- maternal mortality (per 100,000 live births) | | 16,6<br>28,7 | State statistic 2018 | Once a year |
| % of population satisfied with health services | | 53 | Needs assessment (2017) | At the end of the project (2023) |

| Output | | Output Indicators | | | | |
|---|---|---|---|---|---|---|
| **10** | Investments in local health services and pharmacies (e.g. facilities and equipment) are increased | amount of investments in local health infrastructure with support of the MPHSTF, mln USD | 0 | Project reports | Once a year |
| | | % of people surveyed that are satisfied with the availability of affordable medicines | 32,8 | Needs assessment (2017) | At the end of the project (2023) |
| | | % of medical institutions equipped with equipment | 78 | State statistic | Once a year |
| **11** | Access to rural health clinics and to medication primarily in remote areas is improved | # of new health clinics and pharmacies with support of the MPHSTF | 0 | Project reports | Once a year |
| | | # of functional rural health clinics strengthened with support of the MPHSTF | 0 | Project reports | Once a year |

| | | | Baseline | Means of verification | Frequency |
|---|---|---|---|---|---|
| | | doctors/nurses/health care professionals/hospital beds per 10 000 people:<br>- provision with doctors<br>- provision with nursing staff<br>- provision with in-patient beds | <br><br>23,1<br>94,8<br>39,4 | State statistic 2017 | Once a year |
| 12 | The quality of health care is improved through increased professional education | # of health care professionals educated and retrained through distance learning | 0 | Project reports | Once a year |
| 13 | Healthy lifestyles and practices, drug and alcohol use prevention, as well as, mental health are promoted, including sanitation, vaccination, waste disposal, and local medicinal plants | % of populations responding positively to new healthy lifestyles in survey | TBD | Assessments by independent evaluators | Once a two year |
| | | availability of teacher's manual on healthy lifestyle in Karakalpak language | Not available | Project reports | Once per project |
| | | # of teachers trained on Healthy lifestyles | 188 | Training records | Once a year |
| | | # of projects and activities conducted on promotion of Healthy lifestyles with support of the MPHSTF | 0 | Project reports | Once a year |
| **Outcome 5: The living conditions of local populations improved, with particular focus on vulnerable groups such as women, children and youth** | | | **Baseline** | **Means of verification** | **Frequency** |
| % of population with increase access to social and community services<br>- Drinking water<br>- Natural (liquefied) gas | | | <br>33,8<br>48,6 | Needs assessment (2017) | At the end of the project (2023) |
| % of populations responding positively to living (housing) conditions | | | 65,2 | Needs assessment (2017) | At the end of the project (2023) |
| **Output** | | **Output Indicators** | | | |
| 14 | Adequate housing appropriate for the local living conditions is provided | adapted standards for the design and construction of residential buildings and social facilities, taking into account the actual ecological and geographic conditions of the Aral Sea region | Not available | Project reports | Once per project |
| | | # of social infrastructure facilities constructed in accordance to the new standard projects that meet local conditions | 0 | Project reports | Once a year |
| 15 | Social and community services, including pre-school education | # of new and improved pre-schools with support of the MPHSTF | 0 | Project reports | Once a year |

| | | % of enrollment of children by pre-school educational institutions | 32,7 | Needs assessment (2017) | At the end of the project (2023) |
|---|---|---|---|---|---|
| | and leisure opportunities, and life skill education for children and youth are improved | % of people surveyed that are satisfied with the quality of school education | 64,5 | Needs assessment (2017) | At the end of the project (2023) |
| | | # of community members and school children covered through youth led peer to peer education programme with support of the MPHSTF | 0 | Training records | Once a year |
| **16** | The local governance system for addressing the human security needs of the population is improved | % of populations (disaggregated by sex) responding positively to their involvement in the local governance system | TBD | Independent assessment | Baseline and targets are to be defined (TBD) |
| | | # of representatives of local authorities participating in special training courses on human security, local development planning and etc. | 48 | Training records (UN JP 2017) | Once a year |
| | | % of people surveyed that are satisfied with local public service delivery and ensuring social stability | 68 | Needs assessment (2017) | At the end of the project (2023) |

**MPHSTF FACTS:**

Outcomes/Results  5
Outcome indicators 11
Outputs              16
Output Indicators    42 (O1-8, O2-7, O3-7, O4-11, O5-9)

# Annex 3. Risk Assessment Tool for Private Sector Contributions

## Risk Assessment Tool

### For private sector contributions

This template permits the collection of information on potential partner private sector entities, helps to evaluate whether or not UNDP should pursue a partnership with the private sector entity[3], and determines which cases might need to be escalated to HQ.

This template contains the practical steps to be followed to reach a decision on a given partnership. It should be used in conjunction with the ''UNDP Policy on Due Diligence and Partnerships with the Private Sector 2013'' and ''Risk Assessment Tool Guideline 2014'' which explains each of the steps in more detail. This risk Assessment is a mandatory requirement for any type of partnership between UNDP and a private sector entity. Special attention should be paid to complete it well in advance of the planned partnership.

Content of this document:

Collate background information.

Step 1: Assess the Private sector entity against UNDP Exclusionary Criteria.

Step 2: Research Potential Controversies.

Step 3: Assess the Private sector entity Commitment to ESG and the Partnership Risks and Benefits.

Step 4: Make a Decision.

Step 5: Monitor and Prepare Communication Materials.

> Collate Background Information

---

[3] The UNDP Policy On Due Diligence And Partnerships With The Private Sector (2013) defines the private sector as:
a) For-profit and commercial enterprises of any size
b) Corporate foundations (Corporate foundations are independent grant-making organizations that have close ties to the corporation providing funds. Some companies have corporate direct giving programmes instead of foundations; some have both. Examples of such foundations are the Coca-Cola Foundation and the Nike Foundation)
c) Business associations, coalitions and alliances (including e.g. chambers of commerce, employers' associations, cooperatives, industry and cross-industry initiatives where the participants are for-profit enterprises). These organizations will be assessed on their own merits, rather than on the merits of its members. (For example, UNDP will not exclude working with a chamber of commerce because it may have a company from an excluded sector among its members. However, if the chamber or association itself is involved in promotion of an excluded sector, then UNDP will not engage with them)
d) State owned enterprises.

| Private sector entity information | |
| --- | --- |
| Name of the private sector entity: | |
| Contact details of UNDP's main contact(s) at the private sector entity: | |
| Sector: | |
| Private sector entity description / background: | |
| Controlling private sector entity and subsidiaries: | |
| Countries / regions of operation of the private sector entity: | |
| Date of assessment: | |
| Annual turnover in US$: | |
| Number of employees: | |
| Information sources: | |
| Credibility of the information: | |
| Relationships between UNDP staff and the private sector entity | |
| Comments: | |

| UN partner | |
| --- | --- |
| Does UNDP or any other member of the UN family currently have, or has it previously had, any relationship with the private sector entity? | |
| ☐ If yes, please briefly explain in the comment box the nature of the relationship with the private sector entity. | ☐ No previous partnership. |
| Comments: [Comments] | |

The risk assessment needs to be completed for any potential partnership with a private sector entity. If the private sector entity is a general participant in a UNDP event, no risk assessment needs to be done. For major event panelists it is recommended that the exclusionary criteria are checked. For any other type of engagement, the due diligence needs to be done as defined in the ''Level of Due Diligence'' matrix (either limited or full due diligence).

The level of due diligence applied will be influenced by the type of partnership and the sector of activity. Please refer to the *Policy on Due Diligence and Partnerships with the Private Sector (2013)* for an overview of the different types of partnership and details about the high-risk sectors mentioned in the footnote. For a detailed description about cases when the risk assessment needs to be done, please refer to the Guideline.

Select the appropriate level of due diligence to be applied from the table below (several types of partnership may apply, select all that are applicable).

NB: *Note that for private sector partnerships that involve project funding, the project must <u>also</u> be reviewed to ensure compliance with UNDP's Social and Environmental Standards, including through UNDP's Social and Environmental Screening Procedure (https://undp.unteamworks.org/ses).*

| Sector of activity of the private sector entity / Type of partnership | Low-risk | High-risk |
|---|---|---|
| Advocacy and policy dialog | ☐ Limited due diligence. If there are no issues with the exclusionary criteria and significant controversies (Step 1 and 2) you can move directly to decision (Step 4). | ☐ Normal due diligence All of the steps in this document must be completed. High-risk sectors include the following, select the one/s that apply: ☐ Oil and gas ☐ Metals and mining ☐ Utilities ☐ Large infrastructure ☐ Agriculture and fishing |
| Resource mobilization / Private sector entity providing financial resources to UNDP to implement ≤ US$100,000 (total contribution) | | |
| Resource mobilization / Private sector entity providing financial resources to UNDP to implement >US$100,000 | ☐ Normal due diligence. All of the steps in this document must be completed. | |

| | | |
|---|---|---|
| Core business for inclusive market development (programmatic joint initiative) | | ☐ Timber, pulp and paper |
| Innovations (e.g. pro-bono provision of technology to support a UNDP project) | | ☐ Alcohol |
| Transformational partnerships (broader collective partnerships) | | ☐ Chemicals (incl. pharmaceuticals) |
| | | ☐ Clothing, toys and consumer electronics |
| | | ☐ Fast food, high sugar drinks and soda |
| | | A full list can be found in the policy. |
| Description of the planned collaboration: | | |
| Comments: [Comments] | | |

# Step 1: Assess the Private sector entity against UNDP Exclusionary Criteria

## 1.1 Exclusionary criteria

UNDP has defined a set of exclusionary criteria outlining those business practices considered unacceptable to the organization. The Policy on Due Diligence and Partnerships with the Private Sector (2013) defines the threshold limits when UNDP cannot engage with private sector entities involved in the below mentioned exclusionary criteria. The thresholds have also been defined for parent companies, subsidiaries and supply chain, remember to also check any potential issues with them. If any evidence is found, the issue needs to be compared with the exclusionary criteria matrix and defined whether the evidence is within or above the exclusionary criteria threshold.

| | | |
|---|---|---|
| Manufacture, sale or distribution of controversial weapons or their components, including cluster bombs, anti-personnel mines, biological or chemical weapons or nuclear weapons.[4] | ☐ No evidence | ☐ Evidence [5] <br> ☐ Not known |

---

[4] The Convention on Certain Conventional Weapons, ICRC, Ethical Investment Research Services and Ethix Sri Advisors Guidance to institutional investors also covers **non-detectable fragments, blinding laser weapons, incendiary weapons, booby traps and depleted uranium ammunition**.

[5] There is no threshold option as UNDP will not, under any circumstances, partner with a private sector entity that has activities related to controversial weapons.

| | | |
|---|---|---|
| Manufacture, sale or distribution of armaments and/or weapons or their components, including military supplies and equipment. | ☐ No evidence | ☐ Evidence above threshold<br><br>☐ Evidence within threshold<br><br>☐ Not known |
| Replica weapons marketed to children. | ☐ No evidence | ☐ Evidence above threshold<br><br>☐ Evidence within threshold<br><br>☐ Not known |
| Manufacture, sale or distribution of tobacco or tobacco products. | ☐ No evidence | ☐ Evidence above threshold<br><br>☐ Evidence within threshold<br><br>☐ Not known |
| Violations of UN sanctions and the relevant conventions, treaties, and resolutions, and inclusion in UN ineligibility lists or UNDP vendor sanctions list. | ☐ No evidence | ☐ Evidence above threshold<br><br>☐ Evidence within threshold<br><br>☐ Not known |
| Involvement in the manufacture, sale and distribution of pornography. | ☐ No evidence | ☐ Evidence above threshold<br><br>☐ Evidence within threshold<br><br>☐ Not known |
| Manufacture, sale or distribution of substances subject to international bans or phase-outs[6], and wildlife or products regulated under the CITES[7] | ☐ No evidence | ☐ Evidence above threshold<br><br>☐ Evidence within threshold<br><br>☐ Not known |

---

[6] Initiatives and activities with private sector entities falling under the auspices of the Montreal Protocol; and the Stockholm and Minamata Conventions on Ozone depleting substances, POPs and Mercury respectively, will not be covered under this policy but under their specific guidelines.
[7] CITES (the Convention on International Trade in Endangered Species of Wild Fauna and Flora) is an international agreement between governments. Its aim is to ensure that international trade in specimens of wild animals and plants does not threaten their survival. http://www.cites.org

| | | |
|---|---|---|
| Gambling including casinos, betting etc. (excluding lotteries with charitable objectives). | ☐ No evidence | ☐ Evidence above threshold <br><br> ☐ Evidence within threshold <br><br> ☐ Not known |
| Violation of human rights or complicity in human rights violations. | ☐ No evidence | ☐ Evidence above threshold <br><br> ☐ Evidence within threshold <br><br> ☐ Not known |
| Use or toleration of forced or compulsory labor. | ☐ No evidence | ☐ Evidence above threshold <br><br> ☐ Evidence within threshold <br><br> ☐ Not known |
| Use or toleration of child labor. | ☐ No evidence | ☐ Evidence above threshold <br><br> ☐ Evidence within threshold <br><br> ☐ Not known |
| Comments: [Comments] | | |
| Conclusion | | |

| ☐ 🟢 All "No evidence" boxes ticked and "Limited due diligence" selected above:<br><br>Continue with the risk assessment. | ☐🟢 All "No evidence" boxes ticked and "Normal due diligence" selected above:<br><br>Continue with the risk assessment. | ☐ 🟡 One or more "Evidence within threshold" or "Not known" boxes ticked / Exception<br><br>Explain in the comment box why a partnership is still worth pursuing.<br><br>The complete risk assessment tool including your conclusions must be escalated to HQ after finalization. | ☐ 🔴 Any exclusionary criteria above threshold, or several "Not known" boxes ticked:<br><br>Refrain from engaging |
|---|---|---|---|
| Comments: [Comments] | | | |

Step 2: Research Potential Controversies

## 2.1 Potential Controversies

Potential partner private sector entities may be exposed to controversies or there may be factors that can cause reputational risks to UNDP. Annex 2 of the *Risk Assessment Tool Guidelines* contains guidance on how to gather information.

List below any controversies and possible reputational risks that are not already covered in step 1.1., i.e. controversies not directly related to exclusionary criteria. Use the comment box to provide details of the criticism. Controversies and reputational risks may relate to issues such as:

| Labor | Governance |
|---|---|
| Discrimination at work[8] | Corruption |
| Freedom of association and the right to collective bargaining | Fraud |
| | Tax evasion |
| Occupational health and safety | |
| Poor employment conditions | |
| Communities | Product-related |

---

[8] This also includes assessing potential partner's commitment to gender equity. For example, do they have family friendly policies, equal wages for equal jobs, work-life balance policies, etc.

| | |
|---|---|
| Community health and safety | Product safety |
| Impact on livelihoods<br><br>Local participation<br><br>Social discrimination<br><br>Indigenous peoples | Controversial products or services, e.g. use of conflict minerals in the products<br><br>Marketing of breast milk substitutes contrary to the WHO's International Code of Marketing of Breast-Milk Substitutes.[9] |
| Environment | Ownership or management |
| Pollution (including climate change)<br><br>Impact on ecosystems and landscapes<br>Overuse of resources<br><br>Waste management<br><br>Mistreatment of animals | Controversies related to the individuals owning or managing the private sector entity |

| | | |
|---|---|---|
| Significant criticism from local or global NGOs / media/social media or other significant partners of UNDP (including CSO advisory committee, marginalized people etc.) locally or globally | ☐ No evidence | ☐ Evidence<br>☐ Not known |
| Significant criticism from governmental agencies / political parties that makes UNDP participation politically sensitive | ☐ No evidence | ☐ Evidence<br>☐ Not known |
| Recurring local public events against the private sector entity (e.g. local demonstrations) | ☐ No evidence | ☐ Evidence<br>☐ Not known |
| Global public events (e.g. significant demonstrations at several locations, significant online protests) | ☐ No evidence | ☐ Evidence<br>☐ Not known |
| Relevant legal case in progress/in court etc. | ☐ No evidence | ☐ Evidence<br>☐ Not known |
| Other (specify): | ☐ No evidence | ☐ Evidence<br>☐ Not known |
| Comments: [Comments] | | |

---

[9] The WHO's International Code of Marketing of Breast-Milk Substitutes is available at WHO website

| Conclusion | |
|---|---|
| ☐ 🟢 All "No evidence" boxes ticked<br><br>'Normal due diligence' - Continue with the risk assessment.<br><br>'Limited due diligence' - If there was no evidence of exclusionary criteria and no evidence of significant controversies you may skip Step 3 and move directly to the Step 4 ''Make a decision''. The decision can be taken locally. | ☐ 🟡 One or more "Evidence" or "Not known" boxes ticked<br><br>Research publicly available sources (e.g. search for public statements from the private sector entity), or contact the private sector entity to assess how it addresses the identified significant controversies. List these elements in the comment box below.<br><br>Continue with the risk assessment. Consult with HQ to determine escalation of the decision to HQ after risk assessment finalization. |
| Comments: [Comments] | |

## Step 3: Assess the Private sector entity's Commitment to ESG and the Partnership Risks and Benefits

| 3 a) Private sector entity's engagements[10] | | |
|---|---|---|
| Is the private sector entity a participant in the UN Global Compact? | ☐ Yes | ☐No<br>☐ Not known |
| If "yes" to the question above:<br><br>Is the private sector entity actively communicating its progress and level of reporting? See: General Communication on Progress (COP) | ☐ Yes | ☐No<br>☐ Not known |
| Does the private sector entity have any sustainability-related certifications or reporting (e.g. ISO14001, SA8000, AA1000, OHSAS 18001, or GRI Principles)? Provide details in the comment box below. | ☐ Yes | ☐No<br>☐ Not known |

---

[10] The private sector entity does not have to have a positive answer to all these questions, especially SMEs and even larger domestically oriented private sector entities may not be engaged in these initiatives.

| Is the private sector entity included in any sustainability or ESG-related indices (e.g. FTSE4Good, Dow Jones Sustainability Indexes, etc.), or similar national/regional initiatives? Does the private sector entity abide by any voluntary sustainability or ethical principles or guidelines[11]? List them in the comment box below. | ☐ Yes | ☐ No<br>☐ Not known |
|---|---|---|
| Comments: HAIFU will consider an application to join the UN Global Compact, has developed a Code of Conduct for ESG reporting and socially responsible investing strategy. | | |

| 3 b) Private sector entity's commitment to ESG issues[12] | | |
|---|---|---|
| **Human rights:** | | |
| Does the private sector entity have a policy and a monitoring system that seeks to prevent or mitigate adverse human rights impacts, especially on the local communities, that are directly linked to its operations? [13] | ☐ Yes<br>☐ Not applicable | ☐ No<br>☐ Not known |
| Does the policy and a monitoring system cover occupational health and safety issues, ensuring that workers are afforded safe, suitable and sanitary working conditions?[14] | ☐ Yes | ☐ No<br>☐ Not known |
| Does the policy and monitoring system cover land or property issues, i.e. does the private sector entity ensure that all affected owners and users of the land or property used by the private sector entity have been adequately consulted and compensated? | ☐ Yes<br>☐ Not applicable | ☐ No<br>☐ Not known |
| Does the policy and monitoring system cover the rights of indigenous peoples, and in particular the principles of self-determination and self-governance, the right to lands and natural resources, including issues of resettlement, and the right to free, prior and informed consent? | ☐ Yes<br>☐ Not applicable | ☐ No<br>☐ Not known |
| Does the policy and monitoring system cover the private sector entity's security arrangements, i.e. whether or not they comply with international human rights principles for law enforcement and the use of force (e.g. have security personnel received adequate human rights training)?[15] | ☐ Yes<br>☐ Not applicable | ☐ No<br>☐ Not known |

---

[11] Examples of voluntary sustainability or ethical principles include: e.g. Principles for Responsible Investment, Extractive Industries Transparency Initiative, Voluntary Principles on Security and Human Rights, Equator Principles.
[12] The private sector entity does not have to have a positive answer to all these questions, especially SMEs and even larger domestically oriented private sector entities may not have all the different policies and systems in place.
[13] An example of a framework specifically designed for human rights
[14] Useful resources can be found at ILO website
[15] Useful resources can be found at Global Compact website

| | | |
|---|---|---|
| Does the private sector entity have an appropriate dispute resolution mechanism that is in line with the human rights norms and principles? | ☐ Yes<br><br>☐ Not applicable | ☐ No<br><br>☐ Not known |
| Does the private sector entity have a policy and a monitoring system that seeks to prevent or mitigate adverse human rights impacts that are directly linked to products and services by its business relationships (business partners, entities in its value chain, other non-State or State entities)? | ☐ Yes<br><br>☐ Not applicable | ☐ No<br><br>☐ Not known |
| **Labor:** | | |
| Does the private sector entity have a policy and a monitoring system to ensure fair labor practices[16] at its operations? | ☐ Yes | ☐ No<br><br>☐ Not known |
| Does the policy and monitoring system adequately ensure equal opportunity to all employees and applicants regardless of ethnic origin, color, age, gender, sexual orientation, religion, marital status? | ☐ Yes | ☐ No<br><br>☐ Not known |
| Does the private sector entity have a policy and a monitoring system that seeks to promote fair labor practices in its interactions with suppliers and business partners? | ☐ Yes | ☐ No<br><br>☐ Not known |
| Does the policy and monitoring system ensure freedom of association and the right to collective bargaining? | ☐ Yes | ☐ No<br><br>☐ Not known |
| Does the policy and monitoring system ensure the elimination of forced or compulsory labor? | ☐ Yes | ☐ No<br><br>☐ Not known |
| Does the policy and monitoring system ensure the elimination of child labor? | ☐ Yes | ☐ No<br><br>☐ Not known |
| **Environment:** | | |
| Does the private sector entity have a policy and a monitoring system to minimize environmental damage at its operations? | ☐ Yes | ☐ No |

---

[16] International Labor Standards provide a framework for fair labor practices. The fundamental conventions include: Freedom of Association and Protection of the Right to Organise Convention, 1948; Right to Organise and Collective Bargaining Convention, 1949; Forced Labour Convention, 1930; Minimum Age Convention, 1973 (No. 138); Worst Forms of Child Labour Convention, 1999; Equal Remuneration Convention, 1951; and Discrimination (Employment and Occupation) Convention, 1958. (ILO)

| | | |
|---|---|---|
| | ☐ Not applicable | ☐ Not known |
| Does the private sector entity have a policy and a monitoring system which it applies to working with suppliers to improve environmental performance, extending responsibility down the supply chain? | ☐ Yes <br> ☐ Not applicable | ☐ No <br> ☐ Not known |
| Does the private sector entity have a policy and a monitoring system to reduce emissions (emissions to air, waste and effluents)? | ☐ Yes <br> ☐ Not applicable | ☐ No <br> ☐ Not known |
| Does the private sector entity have a policy and a monitoring system to ensure that natural resources are used in a sustainable manner? | ☐ Yes <br> ☐ Not applicable | ☐ No <br> ☐ Not known |
| Does the private sector entity take action to reduce energy consumption? | ☐ Yes | ☐ No <br> ☐ Not known |
| Does the private sector entity prevent, minimize and remedy significant impacts on biodiversity? | ☐ Yes <br> ☐ Not applicable | ☐ No <br> ☐ Not known |
| Does the private sector entity have emergency procedures in place to prevent and address industrial accidents affecting the environment and human health effectively? | ☐ Yes <br> ☐ Not applicable | ☐ No <br> ☐ Not known |
| **Good governance:** | | |
| Does the private sector entity have a policy and a monitoring system stating that it will not engage in corruption at any time or in any form in its interaction with suppliers, intermediaries, governments and business partners? | ☐ Yes | ☐ No <br> ☐ Not known |
| Comments: [Comments] | | |

**Conclusion**

Is the private sector entity's commitment to ESG appropriate in relation to its exposure to risks? In principle, most answers would be expected to be positive for multinationals. For smaller and domestically oriented private sector entities more flexibility can be applied.

| ☐ 🟢 Yes | ☐ 🟢 No or not known / exception | ☐ 🔴 No or not known |
|---|---|---|
| Continue risk assessment. | Explain in the comment box below why you believe that the private sector entity is willing and able to address significant gaps. Continue risk assessment. | Refrain from engaging. |

Comments: [Comments]

| 3 c) Partnership Risks | | |
|---|---|---|
| UNDP must maintain impartiality and accountability to all of its private and public stakeholders. UNDP's engagement with the private sector must therefore allow UNDP to remain unbiased, while supporting its overall goals and objectives. Similarly, the agreed partnership must not in any way compromise the integrity and independence of UNDP or that of the parties involved. Evaluate market risks and select applicable statements below: | | |
| **Impartiality** UNDP will not – and will not be perceived to – give any unfair advantage to one or more businesses within an industry, sector or market, neither is it perceived to have endorsed a particular business, product or service. The Social Enterprises selected to be supported through TA/social impact assessments will be determined through an open & transparent process. | ☐ Correct | ☐ Incorrect ☐ Not known |
| **No market distortion** The partnership will not have negative unintended consequences by distorting a market by giving one business or group of businesses an unfair advantage and/or by crowding out other economic actors. The selected grantees and or social enterprises will not be allowed to purchase any profit bearing capital assets that would benefit them economically vis-à-vis the market. The grants are used only for technical assistance and social impact relates assessments. | ☐ Correct | ☐ Incorrect ☐ Not known |
| **Non-exclusivity** | ☐ Correct | ☐ Incorrect |

| | | |
|---|---|---|
| UNDP will not enter in an exclusive relationship with a private sector entity that would exclude UNDP from working with another private sector entity from the same sector. | | ☐ Not known |
| Reasonable benefit<br><br>The benefit to the private sector entity from the collaboration will not be disproportionately high compared to the public benefits or benefits to UNDP/Participating UN Organizations. | ☐ Correct | ☐ Incorrect<br><br>☐ Not known |
| Non-dependency in procurement / No conflict of interest<br><br>The private sector entity has been informed that partnering with UNDP will not provide preferential treatment in procurement process. | ☐ Correct | ☐ Incorrect<br><br>☐ Not known |
| Political Risks[17]<br><br>It is unlikely that any potential political risks would arise during the partnership. | ☐ Correct | ☐ Incorrect<br><br>☐ Not known |
| Comments: [Comments] | | |

## 3 d) Partnership Benefits

The balance between expected risks and expected benefits must be in line with the risk tolerance of UNDP. UNDP may generally be willing to bear higher risks if the benefits of the partnership clearly outweigh the risks.

Select applicable statements below:

| | | |
|---|---|---|
| There are significant potential gains in terms of achieving one or more of UNDP's strategic priorities within the UNDP Strategic Plan and Private Sector Strategy. | ☐ Correct | ☐ Incorrect<br>☐ Not known |
| The private sector entity is among the most suitable partners available in the country context. | ☐ Correct | ☐ Incorrect<br>☐ Not known |
| There is considerable potential for long-term engagement with the private sector entity, in which resources are contributed on a significant scale, and there may be a significant outcome in terms of human development. | ☐ Correct | ☐ Incorrect<br>☐ Not known |

---

[17] Political risks include the consequences and likelihood of changes in government. Special attention should be given to countries under United Nations sanctions. Political risks also include the risk of having the government withdraw support for the partnership or UNDP engaging in close partnership with an actor that is seen as business arm of the political elite.

| | | |
|---|---|---|
| The partnership is likely to create immediate results in the well-being of communities that are facing high rates of poverty and a low human development. | ☐ Correct | ☐ Incorrect<br>☐ Not known |
| The partnership will create wider awareness of, and support for, UNDP and its causes from positive exposure and publicity surrounding the collaboration. | ☐ Correct<br>☐ Not relevant | ☐ Incorrect<br>☐ Not known |
| The partnership allows access to new innovations for development. | ☐ Correct<br>☐ Not relevant | ☐ Incorrect<br>☐ Not known |
| Other (specify): | ☐ Correct | ☐ Incorrect<br>☐ Not known |
| Comments: [Comments] | | |

| Conclusion | | |
|---|---|---|
| ☐ 🟢 All "Correct" boxes ticked under Market risks and Political risks.<br><br>The risk-benefit analysis indicates that the partnership is worth pursuing.<br><br>Go to step 4 ''Make a decision''. | ☐ 🟢 One or more "Incorrect" or "Not known" boxes ticked under step Market risks and Political risks, but they are clearly outweighed by the "Yes" boxes ticked under step Benefits.<br><br>The risk-benefit analysis indicates that the partnership is worth pursuing.<br><br>Record your reasoning in the comment box below.<br><br>Go to step 4 ''Make a decision''. | ☐ 🔴 One or more "Incorrect" or "Not known" boxes ticked under step Market risks and Political risks and they are *not* sufficiently outweighed by benefits.<br><br>Refrain from engaging. |
| Comments: | | |

## Step 4: Make a Decision

Based on the information collected in this template, make a suggestion as to whether or not UNDP should engage in the partnership. Some partnerships may be considered worth pursuing given certain conditions. These conditions should be defined at this stage, and should be communicated to and accepted by the private sector entity. Use the box below to set out your proposal as to whether or not UNDP should engage in the partnership, including the conditions, if applicable. Remember that it is essential that there is separation between the staff who are directly involved in developing the relationship and making a recommendation as to whether or not to proceed, and the staff who make the final decision.

| Suggested decision by the initiating unit |
| --- |
| ☐ If all 🟢: approve ☐ without or ☐ with conditions (see below). |
| ☐ If one or more 🟡: escalate the Risk Assessment Tool, including your conclusions, to HQ. |
| ☐ If one or more 🔴: refrain from engaging. |
| Rationale for the decision: [Rationale] |
| Conditions: [Conditions] |

| For cases that do not require escalation: decision by the RC/RR for COs, or the Regional Director for Regional Bureaus, or designated persons with the proper authority (please specify). |
| --- |
| ☐ Approve ☐ without or ☐ with conditions (see below). |
| ☐ Refrain from engaging. |
| Person designated to make the decision: [Name] |
| Rationale for the decision: [Rationale] |
| Conditions: [Conditions] |

| In escalated cases, decision by HQ |
| --- |
| ☐ Approve ☐ without or ☐ with conditions (see below). |
| ☐ Refrain from engaging. |
| Rationale for the decision: [Rationale] |
| Conditions: [Conditions] |

## Step 5: Risk Log, Monitoring Plan and Communication Materials

The Project Manager should also document the risks that have been identified into a risk log (sample here). If the partnership is part of a project that already has a risk log, these risks can be added into the existing mechanism. In low-risk and short term partnerships the project manager may decide that risk log is not needed.

| Has a risk log been done? | |
|---|---|
| ☐ Yes<br><br>Attach the risk log to this document or explain in the comment box below where it can be found. | ☐ No<br><br>Explain in the comment box below why a risk log has not been done. |
| Comments: Risk log will be defined and actuated once the fund is created and targeted towards thematic investments. | |

The Project Manager should regularly scan publicly available information and informal intelligence systems for new controversies surrounding the private sector entity or its industry. Any significant issues that might cause potential damage should be flagged to HQ, and should be recorded in the Private Sector Due Diligence Database. Similarly, the Project Manager should regularly assess whether or not the private sector entity is meeting the conditions (if any) defined in step 4 above. Especially if there are specific conditions set for the partnership it is recommended to prepare a monitoring plan.

The Project Manager can be supported in the monitoring activities by the Regional Bureau or HQ, especially in difficult cases.

| Has a monitoring plan been defined? | |
|---|---|
| ☐ Yes<br><br>Attach the monitoring plan to this document or explain in the comment box below where it can be found. | ☐ No<br><br>Explain in the comment box below why a monitoring plan has not been defined. |
| Comments: : Same as above | |

The Project Manager is in charge of drawing up the needed communications materials that cover the basic details about the partnership and possibly address the main risks identified during the risk assessment process. For partnerships that do not involve significant risks, the Project Manager may decide that there is no need for communications materials.

| Have the needed communications materials been drawn up? |
|---|

| ☐ Yes | ☐ No |
|---|---|
| Attach the communications materials to this document or explain in the comment box below where they can be found. | Explain in the comment box below why communications materials have not been drawn up. |
| Comments: : Same as above | |

# Annex 4. Proposal Submission and Assessment Form

**UN MPHSTF for the Aral Sea region in Uzbekistan**

**A. Project Proposal – Submission TEMPLATE**

| I. Brief Project/Programme Information | |
|---|---|
| Project/programme title | |
| Name of the applicant(s) | Participating UN Organization:<br><br>Implementing entities: |
| Indicate the programmatic priority area you are applying for (mark as applicable) | ☐ Environmental security<br>☐ Health security<br>☐ Social security<br>☐ Economic security<br>☐ Food security<br>☐ Ineffectiveness of donor assistance. |
| Location of the project/programme | |
| Total project/programme cost, USD | |
| Proposed duration of the project/programme implementation | _____Months |
| Anticipated Start and End dates | Start (d/m/y)_____<br>End (d/m/y)_____ |
| Contact details | Contact person, position<br>Organization<br>Email address<br>Telephone number<br>Mailing address |
| II. Project / Programme Information | |

| | |
|---|---|
| Situation analysis | *Problem(s) (human security needs) to be addressed, including its/their scope, history and causes* |
| | *Describe alignment of your proposal with the MPHSTF Theory of Change, explain the detailed theory of change (ToC) for your project/programme* |
| Project/Programme description<br><br>*The proposal is developed based on Human Security Concept approach* | Goal and Objectives<br><br>*Please describe goals and objectives of the proposal and complete the Logical framework matrix (Logframe) (please see Table 1)*<br><br>Strategic Context<br><br>*Please describe:*<br>*Alignment of the proposal with the Government Policies and Strategies in addressing the Aral Sea crises related problems and/or the Needs Assessment results (conducted within the UN Joint Programme in 2017);*<br>*Contribution to achieving the SDG(s), other international commitments on the issue at national level;*<br>*Alignment to the SDG and UNDAF principles.*<br><br>Expected project/programme results aligned with the MPHSTF Results framework<br><br>*Describe how objectives, activities and outputs of the proposal are in line with and contribute to the MPHSTF Programmatic Framework and Results Matrix* |
| Governance arrangements and Partnerships | *Please describe in details the governance structure and decision making process of the project/programme, including but not limited to the organization structure.*<br><br>*List national, local partners, NGOs, CSOs and communities and outline a strategy to ensure the stakeholders engagement and describe their respective responsibilities.* |
| Beneficiaries | *Describe:*<br><br>*Main characteristics of primary beneficiaries (age, gender, socioeconomic level, geographic area, etc.);*<br><br>*Participation of local communities and/or civil society in decision-making processes, design, implementation and M&E.* |

| | |
|---|---|
| Mainstreaming of gender and women's empowerment | *Please describe how gender and women's empowerment have been considered in the proposal, implementation and management* |
| | *Please indicate specific measurable indicators related to gender equality and women's empowerment.* |
| Sustainability | *Please explain how the project/programme sustainability will be ensured in the long run and how this will be monitored, after the project/programme is implemented* |
| | *Potential of the proposal to strengthens national capacities, strengthen institutions and provide support to local actors* |
| Risks and Assumptions | *Specify the key risks that can threaten the achievement of results within the chosen strategy and the assumptions on which the project/programme results depends.* |
| | *Describe how project/programme risks will be mitigated. Refer to the Table 2.* |
| Cost Efficiency and Effectiveness | *Identify how the project/programme strategy is expected to deliver maximum results with available resources. Include measures based on good practices and lessons learned. Explain why the selected pathway is the most efficient and effective of available options.* |
| Arrangements for Monitoring, Reporting and Evaluation | *Please provide:* |
| | *Project/programme specific institutional setting and implementation arrangements for monitoring and reporting and evaluation;* |
| | *Methodologies for monitoring and reporting of the key outcomes of the project/programme;* |
| | *Estimated allocation of resources for M&E.* |
| Attachments: | Attachment Name/Title: |

Name of Applicant representative          _____

Signature of Applicant representative      _____

Date (d/m/y)                              _____

**Table 1. Logical Framework**

| Title of the programme: | | | | | | | |
|---|---|---|---|---|---|---|---|
| **UNDAF Priority Area** | | | | | | | |
| **Relevant National SDG(s)** | | | | | | | |
| **Expected Results (Outcomes & outputs)** | **Indicators** | | | | | **Means of verification/ Frequency** | **Responsibilities** (PUNOs and national partners) |
| | **Indicator description** | **Baseline** | | **Target** | | | |
| | | **Value** | **Year** | | | | |
| **Programme outcomes** | Contribution to the MPHSTF outcomes | | | | | | |
| **Outcome 1.** | | | | | | | |
| | | | | | | | |
| **Programme outputs** | | | | | | | |
| Output 1.1. | | | | | | | |
| | | | | | | | |
| Output 1.2. | | | | | | | |
| | | | | | | | |
| Output 1.3. | | | | | | | |
| **Outcome 2.** | | | | | | | |
| **Programme outputs** | | | | | | | |
| Output 2.1. | | | | | | | |

**Table 2. Risk Ranking Matrix**

| Risks | Character | Impact | Probability | Mitigation Strategy |
|---|---|---|---|---|
| | | | | |
| | | | | |

**Budget categories ($ USD)**

| Categories | Total need | Allocation: MPTF | Allocation: Other (specify) |
|---|---|---|---|
| 1. **Staff** <br> *Budget notes: XX* | $00.00 | $00.00 | $00.00 |
| 2. **Supplies, commodities, materials** <br> *Budget notes: XX* | $00.00 | $00.00 | $00.00 |
| 3. **Equipment, vehicles and furniture (including depreciation)** <br> *Budget notes: XX* | $00.00 | $00.00 | $00.00 |
| 4. **Contractual services (including consultants, meetings, workshops and conferences)** <br> *Budget notes: XX* | $00.00 | $00.00 | $00.00 |
| 5. **Travel** <br> *Budget notes: XX* | $00.00 | $00.00 | $00.00 |
| 6. **Transfers and grants to counterparts** <br> *Budget notes: XX* | $00.00 | $00.00 | $00.00 |
| 7. **General operating and other direct costs** <br> *Budget notes: XX* | $00.00 | $00.00 | $00.00 |
| **Subtotal** | $00.00 | $00.00 | $00.00 |
| 8. **Indirect support costs[18]*** | $00.00 | $00.00 | $00.00 |
| **TOTAL** | $00.00 | $00.00 | $00.00 |

---

[18] The rate shall not exceed 7% of the total of categories 1-7, as specified in the Multi-Partner Human Security Trust Fund Terms of Reference and should follow the rules and guidelines of each PUNO. Note that PUNOs-incurred direct project implementation costs should be charged to the relevant budget line, according to PUNO's regulations, rules and procedures.

**Detailed budget by results**

| Detailed description | Budget Categories* | Item line budget | | | |
|---|---|---|---|---|---|
| | | Item description | Unit cost | Number of units | Total |
| Objective 1. | | | | | |
| Output 1.1. | | | | | |
| Activity 1.1.1.** | | | | | |
| | | | | | |
| Output 1.2. | | | | | |
| Activity 1.2.1. | | | | | |
| | | | | | |
| Objective 1 Subtotal | | | | | |
| | | | | | |
| Objective 2. | | | | | |
| Output 2.1. | | | | | |
| Activity 2.1.1. | | | | | |
| | | | | | |
| Objective 2 Subtotal | | | | | |
| | | | | | |
| | | | | | |
| Total cost | | | | | |
| Indirect support cost | | | | | |
| TOTAL BUDGET | | | | | |

*\* Please, specify one of 7 categories for each requested funds. See the Budget Categories for details of each category.*

*\*\* Please, provide as much as details for each planned activity, e.g. planned to conduct 5 trainings on WASH to train 100 rural people (20 people in each training).*


## ANNEX A - Detailed Descriptions of Revised Harmonized Expense Categories

The following definitions are as per the F&BN WG paper, which form part of the approved decision

**Staff and other personnel costs:** Includes all related staff and temporary staff costs including base salary, post adjustment and all staff entitlements.

**Supplies, Commodities, Materials**: Includes all direct costs (e.g. freight, transport, delivery, distribution) associated with procurement of supplies, commodities and materials. Office supplies should be reported as "General Operating".

**Equipment, Vehicles and Furniture including Depreciation**: For those reporting assets on UNSAS or modified UNSAS basis (i.e. expense up front) this would relate to all costs to put asset into service. For those who do donor reports according to IPSAS this would equal depreciation for period.

*Note: It is not recommended that PUNOs will be allocating funds for purchase of non-expendable items for their own/office needs. Therefore, if it is not justified strongly, it might lead to the rejection of the proposals for budget adjustments by the Applicants*

**Contractual Services:** Services contracted by an organization which follow the normal procurement processes. In IPSAS terminology this would be similar to exchange transactions. This could include contracts given to NGOs if they are more similar to procurement of services than a grant transfer.

**Travel:** Includes staff and non-staff travel paid for by the organization directly related to a project.

**Transfers and Grants to Counterparts:** Includes transfers to national counterparts and any other transfers given to an implementing partner (e.g. NGO) which is not similar to a commercial service contract as per above. In IPSAS terms this would be more similar to non-exchange transactions.

**General Operating and Other Direct Costs:** Includes all general operating costs for running an office. Examples include telecommunication, rents, finance charges and other costs which cannot be mapped to other expense categories.

*Note: In developing the budget, please keep in mind that the bulk of the funding must be used for programme activities with direct impact on vulnerable people and communities. In this regard, MPHSTF anticipates that salaries of staff would be a very modest component of the project/programme cost without the indirect support cost (7%). All general operating costs for running an office (e.g. telecommunication, rents, finance charges and other costs) should also be of a very modest component.*

**Indirect Support Costs: Should not exceed 7%**.

## B. Proposal Assessment checklist

| Part A. Meeting Information | |
|---|---|
| **Steering Committee Meeting No:** | **Project[19] No: SSI0XX** |
| **Date of Meeting:** | **Steering Committee members in attendance at meeting:** |
| **Part B. Project Summary** | |
| **Date of Submission:** | |
| **Lead Focal Point of the Participating Organization(s):** <br><br> Name: <br><br> Telephone: <br><br> Email: | |
| **Proposed project, if approved, would result in:** <br><br> ☐ New Project <br> ☐ Continuation of previous funding <br> ☐ Other (explain) <br> ☐ No-cost extension: (from – to) | **Total Project Budget:** <br><br> **Amount of MPHSTF funds requested:** <br><br> **Percentage of indirect support costs from MPHSTF contribution:** |

| Part C. Initial Review of Proposal <br><br> (To be completed by the MPHSTF Technical Secretariat) | | Comments |
|---|---|---|
| (a) Alignment with Government Policies and Strategies in addressing the Aral Sea problems | Yes ☐ No ☐ | |
| (b) Alignment with the Results of the Needs Assessment of population affected by the Aral Sea crises in the Republic of Karakalpakstan conducted in 2017 within UN Joint Program | Yes ☐ No ☐ | |

---

[19] The term "project" is used for projects, programmes and joint programmes.

| | | |
|---|---|---|
| (c) Contribution to achieving the SDG(s) | Yes ☐ No ☐ | |
| (d) Alignment with the UNDAF Outcomes and principles | Yes ☐ No ☐ | |
| (e) Objectives, activities and outputs of the proposal in line with and contribute to the MPHSTF Programmatic Framework and Results Matrix; | Yes ☐ No ☐ | |
| (f) Programmatic approach aligned to MPHSTF Theory of Change; | Yes ☐ No ☐ | |
| (g) Developed based on Human Security Concept approach; | Yes ☐ No ☐ | |
| (h) The cost of the proposed programme is commensurate to the intended outputs and outcomes; | Yes ☐ No ☐ | |
| (i) Provide for an efficient and effective decision-making and oversight framework; | Yes ☐ No ☐ | |
| (j) Clear identification of partners (local and international), roles and responsibilities; | Yes ☐ No ☐ | |
| (k) Main characteristics of primary beneficiaries (age, socioeconomic level, location, etc.) | Yes ☐ No ☐ | |
| (l) Consideration of gender and women's empowerment in the proposal, implementation and management | Yes ☐ No ☐ | |
| (m) Ensuring sustainability of the project/programme results in the longer term after it's termination | Yes ☐ No ☐ | |
| (n) Identification of the key risks and assumptions on which the project/programme results depends and development of an effective risk mitigation strategy | Yes ☐ No ☐ | |
| (o) Development of Monitoring and Evaluation indicators matrix (qualitative/quantitative) | Yes ☐ No ☐ | |
| (p) Allocation of resources for M&E and measures to ensure implementation of M&E activities | Yes ☐ No ☐ | |
| **Part D: Decision of the Steering Committee** (to be completed by the Steering Committee) | | |
| **5. Decision of the Steering Committee** ☐     Approved for a total budget of US$_____ ☐     Approved with modification/condition ☐     Deferred/returned with comments for further consideration | | |

| ☐ Rejected | |
|---|---|
| **Comments/Justification:** | |

| | |
|---|---|
| **Chairperson of the Steering Committee** | **Chairperson of the Steering Committee** |
| …………………………………… | …………………………………… |
| **Name (Printed)** | **Name (Printed)** |
| …………………… ……………….. | …………………… ………….. |
| **Signature**             **Date** | **Signature**             **Date** |

---

**Part E: Participating UN Organization acknowledgement**

*(To be completed by the Participating UN Organization)*

| | Name/Title | Date | Signature |
|---|---|---|---|
| **Representative of Participating UN Organization receiving funds:** | _____ | _____ | _____ |
| | _____ | _____ | _____ |

---

**Part F: Administrative Agent Review**

*(To be completed by the UNDP MPTF Office)*

**6. Action taken by the Executive Coordinator, Multi-Partner Trust Fund Office, UNDP**

Project (Annex 2) consistent with provisions of the Steering Committee, Memorandum of Understanding and the Standard Administrative Arrangements with donors.

**Executive Coordinator**

**Multi-Partner Trust Fund Office, UNDP**

_____         _____

**Signature**                                 **Date**

# Annex 5. Project Document Template

*(developed based on Revised Standard Joint Programme Document approved by UNDG in April 2008)*

**Cover Page**

Country: _____

Project[20] Title: _____

Project(s):_____

(where different from the UNDAF)

| Project Duration: _____ | Total estimated budget*: _____ |
|---|---|
| Anticipated start/end dates: _____ | Out of which: |
| Fund Management Option(s): _____ <br> (Parallel, pooled, pass-through, combination) | 1. Funded Budget: _____ |
| | 2. Unfunded budget: _____ |
| Managing or Administrative Agent: _____ <br> (if/as applicable) | * Total estimated budget includes both project costs and indirect support costs |

Sources of funded budget:

- Government          _____
- UN Org….           _____
- UN Org…            _____
- Donor …            _____
- Donor …            _____
- NGO…               _____

---

[20] The term "project" is used for programmes, joint programmes and projects

56

**Names and signatures of (sub) national counterparts and participating UN organizations**

Adequate signature space should be provided in order to accommodate name (person), title (head), organization name/seal of the participating UN organization(s) and national coordinating authorities, as well as date of signature.

This project document should be signed by the relevant national coordinating authority(ies). By signing this project document, all signatories – national coordinating authority(ies) and UN organization(s) - assume full responsibility to achieve results identified with each of them as shown in Table 1 and detailed in annual work plans.

| UN organization(s) | National Coordinating Authority(ies) |
|---|---|
| Replace with:<br><br>*Name of Representative*<br><br>*Signature*<br><br>*Name of Organization*<br><br>*Date & Seal* | *Replace with:*<br><br>*Name of Head of Partner*<br><br>*Signature*<br><br>*Name of Institution*<br><br>*Date & Seal* |
| Replace with:<br><br>*Name of Representative*<br><br>*Signature*<br><br>*Name of Organization*<br><br>*Date & Seal* | *Replace with:*<br><br>*Name of Head of Partner*<br><br>*Signature*<br><br>*Name of Institution*<br><br>*Date & Seal* |
| Replace with:<br><br>*Name of Representative*<br><br>*Signature*<br><br>*Name of Organization*<br><br>*Date& Seal* | *Replace with:*<br><br>*Name of Head of Partner*<br><br>*Signature*<br><br>*Name of Institution*<br><br>*Date & Seal* |

# Project Document Outline

A project document enables UN organization(s) (including specialized and non-resident agencies)[21] and implementing partners to implement harmonized, results focused joint programmes with a minimum of documentation. A standard project document should include the following sections:

1. Cover Page - *one page*
2. Executive summary – *one page*
3. Situation analysis – *one to two pages*
4. Strategies including lessons learned and the proposed joint programme– *two pages*
5. Results framework – *two to three pages*
6. Management and coordination arrangements – *two pages*
7. Fund management arrangements – *one page*
8. Monitoring, evaluation and reporting – *two pages*
9. Legal context or basis of relationship – *one page*
10. Work plans and budgets *- two to three pages*

A brief description of the expected content for each of these sections is provided below.

## 1.    Cover Page (One page)

The cover page contains the project outcome(s), total estimated budget, funded and unfunded components, sources of funding and signatures of national coordinating authority(ies) and participating UN organization(s).

## 2.    Executive Summary (One page)

The executive summary contains a comprehensive summary of all sections focusing on the significance and relevance of the project, its contribution to national priorities, UN MPHSTF for the Aral Sea Region Outcomes and international commitments, the results expected to be achieved, intended beneficiaries, donors and implementing partners.

## 3.    Situation Analysis (One to two pages)

This section provides a brief evidence-based causality analysis which may be obtained from the Common Country Assessment, the national development framework, UN Development Assistance Framework (UNDAF) or the relevant humanitarian action plan[22]. It outlines the economic, social, political, environmental and institutional context of the project. It identifies the development or human rights challenges to be addressed; provides specific, current and disaggregated data on these challenges, key causal factors, and the interventions that are necessary and sufficient for the

---

[21] Each UN organization participating and signing this project document will be party to the existing framework (UNDAF, Common Humanitarian Action Plan, or Transitional Framework etc) which the programme is addressing. The Organization will operate on the basis of its legal agreement with government.

[22] This Project also has reference to the Country Programme Action Plans (CPAPs) that may have been signed by ExCom Agencies and governments.

achievement of the planned results. This is to be supplemented with references to the identified baselines presented in the Project Monitoring Framework in Section 8, relevant recent research reports and/or reports and recommendations .

### 4. Strategies, including lessons learned and the proposed project (Two pages)

The subsections to be covered include:

**Background/context:** The intention of this sub-section is to describe how the project will contribute through the UNDAF or other applicable frameworks to the achievement of national priorities and international commitments, including MD/MDGs and humanitarian obligations, among others. It should also identify other outputs and stakeholders contributing to the achievement of the respective UNDAF and MPHSTF frameworks' outcomes. It specifies the relevant stakeholders not involved in this project: UN organizations, government, non-government institutions, and donor organizations active in the area relevant to the project.

**Lessons Learned:** This sub-section provides a summary of relevant lessons learned from experiences, opportunities and challenges which may support or constrain achievement of results. Statements of agreed lessons are particularly important where there is a significant departure from previous programmes or strategies..

**The proposed project:** This sub-section provides a justification for the project.  It outlines the specific project strategies adopted to achieve agreed outcomes, taking into consideration the lessons learned. It focuses on how the strategies address the key causes of the problems which have been identified, and the partners involved in each phase. It includes details on the intended manner in which the project should unfold in its various phases.

In case of joint programmes, it provides a brief description of the division of labor between the UN partners, the added value of each to the intended joint programme outcomes, and the participating UN organizations capacity to deliver agreed outputs.

The proposed project strategy should confirm that the capacities necessary for the implementation were carefully considered and that the selected implementing partner(s) have the capacity to achieve the intended results.

This section should also include a prior assessment of key cross-cutting concerns such as: human rights (in particular the key duty bearers and rights holders involved in the issue the project is addressing and their capacity gaps which the project will address); gender equality (the critical gender concerns that are relevant to the issue being addressed in the project and how the proejct would address these concerns); the key environmental issues that are relevant in this case and how the project will address them; assessment of capacity gaps of key institutions and partners that the proejct will work with and the capacity development strategies that will be adopted for the purpose.

**Sustainability of results:** State how the results will be sustained including relevant capacities being developed among duty bearers and rights holders and government institutions and communities.

### 5. Results Framework (Two to three pages)

This section will contain a brief narrative and the results framework.

The narrative should briefly outline the logic of the results chain. The project outcomes/outputs should directly contribute to the UNDAF outcome(s) and the MPHSTF outcomes. Proper justification should be provided, where any project outcome falls outside the UNDAF (or other applicable framework under which the project falls).

The Results Framework sub-section will contain a hierarchy of UNDAF outcomes and MPHSTF Outcome(s), project outcomes (if different from UNDAF outcome) and project outputs, indicators, baselines and targets. As a minimum, this hierarchy should be presented in the format shown in Table 1 "Results Framework". The column entitled "Participating UN organization corporate priority" will provide the linkage of this project to UN organizations' corporate priorities and mandates.

The results will be articulated in more detail in (annual) work plans and budgets. Please refer to the Section 10 for details of how these work plans should be prepared.

**Table 1: Results Framework**

| UNDAF(or other relevant framework) Outcome | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Joint Programme Outcome (if different from UNDAF Outcome) , including corresponding indicators and baselines, | | | | | | | | | | |
| Project Outputs (Give corresponding indicators and baselines) | Participating UN organization-specific Outputs | Participating UN organization[23] | Participating UN organization corporate priority | Implementing Partner | Indicative activities for each Output | Resource allocation and indicative time frame | | | | |
| | | | | | | Y1 | Y2 | Y3 | Y4 | Total |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | Project Cost | | | | | | | | | |

---

[23] In cases of project using pooled fund management modalities, the Managing Agent is responsible/accountable for achieving all shared project outputs. However, those participating UN organizations that have specific direct interest in a given project output, and may be associated with the Managing Agent during the implementation, for example in reviews and agreed technical inputs, will also be indicated in this column.

| UN organization | Indirect Support Cost | | | | | |
|---|---|---|---|---|---|---|
| **Total** | **Project Cost** | | | | | |
| | **Indirect Support Cost** | | | | | |

## 6. Management and Coordination Arrangements (Two pages)

This section elaborates the project planning and management responsibilities and commitments of partner(s) and participating UN organization(s). This project document does not substitute for organization-specific arrangements required by respective internal policies. The management aspects of the different funding modalities (pooled, parallel or pass through) are detailed under section 7.

In case of Joint Programmes, this section should also describe the arrangements for coordination and oversight, identifying individual participating UN organizations and national partners responsible as applicable. As specified in the UNDG Guidance Note on Joint Programming, "Once the joint programme has been developed and agreed jointly by the participating UN organizations, the arrangements for monitoring, review, and coordination should be documented. The composition of the joint programme coordination mechanism (referred to in the standard agreements as Joint Programme Steering Committee) shall include all the signatories to the joint programme document. The coordination mechanism may also have other members". Linkages to the existing coordination mechanisms, such as thematic groups, etc, should also be specified.

A list of implementation Focal Points should be developed and made available to the ProjectSteering Committee and other stakeholders. This is to be presented as an Annex to the project document.

## 7. Fund Management Arrangements (One page)

This section should clearly specify the fund management arrangements.

In case of Joint programmes there are three fund management options for joint programmes:  a) parallel, b) pooled, and c) pass-through. Under the parallel funding modality, whereby each organization funds and implements its activities in parallel with other participating organization(s), one organization should be responsible for consolidated reporting as agreed upon by the JP Steering Committee. The organization so identified should be stated in this section; any costs incurred by the assigned organization should be reflected in the joint programme budget as the organization's direct costs. If a pooled funding modality is decided upon, this section will state the Managing Agent. If pass-through fund management option is used, this section should state the appointed Administrative Agent.

These options can also be combined. For example, participating UN organizations might decide to pool funds under a Managing Agent for those parts of a joint programme to be managed jointly, while other parts of the joint programme would be managed through parallel funding, within the overall framework of the joint programme. In the case of joint programmes using combined fund management option, the JP Steering Committee will decide which participating UN organization will prepare the consolidated report.

The decision to select one or a combination of fund management options for a joint programme should be based on how to achieve the most effective, efficient and timely implementation, and to reduce transaction costs for national partners, donors and the UN.

The fund management options mentioned above and the templates of instruments have been approved by all UNDG members. Their use in operationalizing joint programmes without alterations does not require further approvals from headquarters. UNCTs therefore must endeavour to use the standard instruments. If for any reason the standard instruments cannot be used, HQ has to be consulted on alternative options. The instruments and operational details on each of the fund management options can be found in the Guidance Note on Joint Programming.

**Transfer of cash to national Implementing Partners:** This sub-section should specify the details of the agreed arrangement for transfer of cash to implementing partners.

Cash transfer modalities, the size and frequency of disbursements, and the scope and frequency of monitoring, reporting, assurance and audit will be agreed prior to project implementation, taking into consideration the capacity of implementing partners, and can be adjusted in its course in accordance with applicable policies, processes and procedures of the participating UN organizations..

## 8. Monitoring, Evaluation and Reporting (Two pages)

**Monitoring:** The content of Table 2 "Project Monitoring Framework (PMF)" should summarize monitoring arrangements for the project, including monitoring activities that the participating UN organization(s) and/or national partners will undertake (such as baseline collection, reviews or studies if necessary to measure effect/impact, field visits, evaluation etc.), the timing of such activities and the respective responsibilities.

The Table 2 should be consistent with the UNDAF or any other relevant monitoring and evaluation plan and be an integral part of the broader UNDAF M&E Framework.

**Table 2: Project Monitoring Framework (PMF)**

| Expected Results (Outcomes & outputs) | Indicators (with baselines & indicative timeframe) | Means of verification | Collection methods (with indicative time frame & frequency) | Responsibilities | Risks & assumptions |
|---|---|---|---|---|---|
| From Results Framework (Table 1) | From Results Framework (Table 1) Baselines are a measure of the indicator at the start of the joint programme | From identified data and information sources | How is it to be obtained? | Specific responsibilities of participating UN organization(s) (including in case of shared results) | Summary of assumptions and risks for each result |

**Annual/Regular reviews:** This sub-section states arrangements and clear responsibilities for conducting regular reviews, including annual reviews where applicable. Review of proejct may also form part of UNDAF annual review.

**Evaluation:** This sub-section states the arrangements for, responsibility and timing of evaluation(s) of the project. It should also state how the results of the evaluation(s) will be used by relevant stakeholders.

It should further state how the risks and assumptions identified in Table 2 will be managed to achieve the agreed project results. These should at a minimum be reviewed at the annual/regular reviews and revised as appropriate.

**Reporting:** This sub-section should set out arrangements for common reporting on the project results. A common reporting format should be in line with the UN MPHSTF for the Aral Sea Region reporting requirements.

### 9. Legal Context or Basis of Relationship (One page)

This section specifies what cooperation or assistance agreements[24] form the legal basis for the relationships between the Government and each of the UN organizations participating[25] in this project.

For the ExCom Agencies, these are standing cooperation arrangements. For the specialized Agencies, these should be the text that is normally used in their programme/project documents or any other applicable legal instruments.

The text specific to each participating UN organization should be cleared by the respective UN organization.

Table 3 below provides illustrative examples on various UN organizations' cooperation arrangements.

**Table 3: Basis of Relationship (illustrative examples)**

| Participating UN organization | Agreement |
|---|---|
| UNDP | This Project Document shall be the instrument referred to as the Project Document in Article I of the Standard Basic Assistance Agreement between the Government of [NAME] and the United Nations Development Programme, signed by the parties on [DATE]. |
| UNIDO | UNIDO Office was established in accordance with the Agreement between the Government of [NAME] and [MOFCOM]. The Office as established in [YEAR]. |

---

[24] Such as: the Basic Cooperation Agreement for UNICEF; Standard Basic Assistance Agreement for UNDP, which also applies to UNFPA; the Basic Agreement for WFP; as well as the Country Programme Action Plan(s) where they exist; and other applicable agreements for other participating UN organizations.
[25] Including Specialized Agencies and Non Resident Agencies participating in the Joint Programme

| | |
|---|---|
| FAO | The Food and Agriculture Organization of the United Nations and the Government of [NAME] signed agreement for the establishment of the FAO Representation in [COUNTRY] on [DATE]. |
| UNESCAP-UNAPCAEM | The United Nations Asian and Pacific Centre for Agricultural Engineering and Machinery (UNAPCAEM) is a subsidiary body/regional institution of the United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP), based [COUNTRY]. Following the host country headquarters agreement signed between the Government of [COUNTRY] and the United Nations on [DATE]. UNAPCAEM began its operations in 2004. |

*The Implementing Partners/Executing Agency[26] agree to undertake all reasonable efforts to ensure that none of the funds received pursuant to this Project are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by Participating UN organizations 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/Docs/sc/committees/1267/1267ListEng.htm. This provision must be included in all sub-contracts or sub-agreements entered into under this programme document.*

## 10. Work plans and budgets (Two to three pages)

The work plans will detail the activities to be carried out within the project and the responsible implementing partners, timeframes and planned inputs from the participating UN organization(s). The basis for all resource transfers to Participating UN organization(s) should be detailed in the work plans, agreed between the MPHSTF and participating UN organization(s).

In case of Joint Programmes, according to the Harmonized Approach to Cash Transfers (HACT), the work plan should be signed by the implementing partners receiving cash (except NGOs and CSOs). In case the implementation authority is delegated to a national/sub-national institution, the respective institution should be specified in the AWP. When partnering with NGOs CSOs, the participating UN organizations sign legal instruments in accordance with their procedures. Any additional management arrangements that may be set up by participating UN organization(s) to achieve results under their respective responsibility may be detailed in annexes as needed.

A revised work plan and budget will be produced subsequent to the decisions of the annual/regular reviews. The new work plan is approved in writing by the project Steering Committee. The project document need not be signed after each periodic review as long as there is written approval of it by all partners at, or following the annual/regular review. However, any substantive change in the project scope or change in financial allocations will require revision of the project document and signature of all parties involved.

The work plan should be attached as an Annex to the project document and should follow the format represented in the table below.

---

[26] Executing Agency in case of UNDP in countries with no signed Country Programme Action Plans

| UN organization-specific Annual targets **1.1.1** | UN organization | Activities | TIME FRAME | | | | Implementing Partner | PLANNED BUDGET | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | Q1 | Q2 | Q3 | Q4 | | Source of Funds | Budget Description | Amount |
| **JP Outcome** | | | | | | | | | | |
| Project Output 1: | | | | | | | | | | |
| (of UN organization ) | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| Project Output 2: | | | | | | | | | | |
| (of UN organization ) | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| **Total Planned Budget** | | | | | | | | | | |

\* The Total Planned Budget by UN Organization should include both programme cost and indirect support cost

Signatures[28]:

| **UN organization(s)** | **Implementing Partner(s)** |
|---|---|
| Replace with: *Name of Representative* *Signature* *Name of Organization* *Date* | *Replace with:* *Name of Head of Partner* *Signature* *Name of Institution* *Date* |

---

[27] Annual Work plans cover not more than a 12-month period. However, usually at the start-up of the programme, these may cover less than one year. In both cases, the corresponding period should be specified.
[28] When CSOs/NGOs are designated Implementing Partners, they do not sign this Work Plan. Each participating UN Organization will follow its own procedures in signing Work Plans with CSOs/NGOs.

# Annex 6. Annual Progress Report For Participating UN Organizations

**UN MPHSTF for the Aral Sea region in Uzbekistan**

**ANNUAL PROGRAMME[29] NARRATIVE PROGRESS REPORT**

**REPORTING PERIOD: 1 JANUARY – 31 DECEMBER  (YEAR)**

| | |
|---|---|
| **Programme Title & Project Number** | **Country, Locality(s), Priority Area(s) / Strategic Results[30]** |
| Programme Title:<br><br>Programme Number *(if applicable)*<br><br>MPTF Office Project Reference Number:[31] | *(if applicable)*<br><br>*Country/Region* |
| | *Priority area/ strategic results* |
| **Participating UN Organization(s)** | **Implementing partners** |
| Organizations that have received direct funding from the MPTF Office under this programme | National counterparts (government, private, NGOs & others) and other International Organizations |
| **Programme/Project Cost (US$)** | **Programme Duration** |
| **Total approved budget as per project document:**<br><br>**MPTF /JP Contribution[32]:**<br><br>*by Agency (if applicable)*<br><br>**Agency Contribution** | <br><br><br>Overall Duration *(months)*<br><br><br><br>Start Date[33] *(dd.mm.yyyy)* |

---

| | |
|---|---|
| ***by Agency (if applicable)*** | |
| **Government Contribution** *(if applicable)* **Other Contributions (donors)** *(if applicable)* | Original End Date[34] *(dd.mm.yyyy)* Current End date[35] *(dd.mm.yyyy)* |
| TOTAL: | |
| Programme Assessment/Review/Mid-Term Eval. Assessment/Review - if applicable *please attach* ☐ Yes ☐ No Date: *dd.mm.yyyy* Mid-Term Evaluation Report – *if applicable please attach* ☐ Yes☐ No Date: *dd.mm.yyyy* | Report Submitted By Name: Title: Participating Organization (Lead): Email address: |

---

[34] As per approval of the original project document by the relevant decision-making body/Steering Committee.
[35] If there has been an extension, then the revised, approved end date should be reflected here. If there has been no extension approved, then the current end date is the same as the original end date. The end date is the same as the operational closure date which is when all activities for which a Participating Organization is responsible under an approved MPTF / JP have been completed. As per the MOU, agencies are to notify the MPTF Office when a programme completes its operational activities.

**Guidelines:**

The Narrative Progress Report template is based on the UNDG 2003 template, which is currently under review and is in line with the UNDG Results Based Management Handbook (October 2011).

Building on continued efforts made in the UN system to produce results-based reports, the progress report should describe how the activities (inputs) contributed to the achievement of specific short-term outputs during the twelve month reporting period, and to demonstrate how the short-term outputs achieved in the reporting period collectively **contributed to the achievement of the agreed upon outcomes** of the applicable Strategic (UN) Planning Framework guiding the operations of the Fund.

In support of the individual programme reports, please attach any additional relevant information and photographs, assessments, evaluations and studies undertaken or published.

Where available, the information contained in the Programme Summaries and Quarterly and/or Semi-Annual Updates prepared by the Participating Organizations may be useful in the preparation of the Annual Narrative Progress Report. These Summaries and Updates, where applicable, are available in the respective Fund sections of the MPTF Office GATEWAY (http://mptf.undp.org/).

**Formatting Instructions:**

The report should be between 10-15 pages. Include a list of the main abbreviations and acronyms that are used in the report.

Number all pages, sections and paragraphs as indicated below.

Format the entire document using the following font: 12point _ Times New Roman

and do not use colours.

The report should be submitted in one single Word or PDF file.

Annexes can be added to the report but need to be clearly referenced, using footnotes or endnotes within the body of the narrative.

# NARRATIVE REPORT FORMAT

## EXECUTIVE SUMMARY

In ¼ to ½ a page, summarise the most important achievements of Programme during the reporting period and key elements from your detailed report below. Highlight in the summary, the elements of the main report that you consider to be the most critical to be included in the MPTF Office Consolidated Annual Report.

## Purpose

Provide the main objectives and expected outcomes of the programme in relation to the **UN MPHSTF for the Aral Sea region in Uzbekistan Results Framework and project document (if applicable) or Annual Work Plan (AWP)**.

## Results

This section is the **most important in the Report** and particular attention should be given to reporting on **results / and changes** that have taken place rather than on activities. It has three parts to help capture this information in different ways (i. Narrative section; ii. Indicator based performance assessment; and iii. A specific story).

**Narrative reporting on results:**

From January to December (Year), respond to the guiding questions indicated below to provide a narrative summary of the results achieved. The aim here is to tell the **story of change** that your Programme has achieved in (Year). Make reference to the implementation mechanism utilized and key partnerships.

**Outcomes:** Outcomes are the strategic, higher level of change that your Programme is aiming to contribute towards. Provide a summary of progress made by the Programme in relation to **planned outcomes from the Project Document / AWP,** with reference to the relevant indicator(s) in these documents. Describe if any targets were achieved, or explain any variance in achieved versus planned results during the reporting period. Explain who the main beneficiaries were.

**Outputs:** Outputs are the more immediate results that your Programme is responsible for achieving. Report on the key outputs achieved in the reporting period, in relation to **planned outputs from the Project Document,** with reference to the relevant indicator(s) in these documents. Describe if any targets were achieved, or explain any variance in achieved versus planned results during the reporting period. If possible, include the percentage of completion of the outputs and the type and number of beneficiaries.

**Describe any delays in implementation, challenges, lessons learned & best practices:** If there were delays, explain the nature of the constraints and challenges, actions taken to mitigate future delays and lessons learned in the process. Provide an updated risk analysis (have any of the risks identified during the project design materialized or changed? Are there any new risks?). Were there any programmatic revisions undertaken during the reporting period? <u>Please also include experiences of failure, which often are the richest source of lessons learned.</u>


**Qualitative assessment:** Provide a qualitative assessment of the level of overall achievement of the Programme. Highlight key partnerships and explain how such relationships impacted on the achievement of results. Explain cross-cutting issues pertinent to the results being reported on. For Joint Programmes, highlight how UN coordination has been affected in support of achievement of results.

## ii) Indicator Based Performance Assessment:

Using the **Programme Results Framework from the Project Document / AWP** - provide an update on the achievement of indicators at both the output and outcome level in the table below. Where it has not been possible to collect data on indicators, clear explanation should be given explaining why, as well as plans on how and when this data will be collected.

| | Achieved Indicator Targets | Reasons for Variance with Planned Target (if any) | Source of Verification |
|---|---|---|---|
| **Outcome 1**[36]<br><br>**Indicator:**<br><br>**Baseline:**<br><br>**Planned Target:** | | | |
| **Output 1.1**<br><br>**Indicator 1.1.1**<br><br>**Baseline:**<br><br>**Planned Target:** | | | |
| **Indicator 1.1.2**<br><br>**Baseline:** | | | |

---

[36] Note: Outcomes, outputs, indicators and targets should be **as outlined in the Project Document** so that you report on your **actual achievements against planned targets**. Add rows as required for Outcome 2, 3 etc.

| | | | |
|---|---|---|---|
| **Planned Target:** | | | |
| **Output 1.2**<br><br>**Indicator  1.2.1**<br><br>**Baseline:** | | | |
| **Planned Target:**<br><br><br><br>**Indicator 1.2.2**<br><br>**Baseline:**<br><br>**Planned Target:** | | | |

### iii) A Specific Story (Optional)

This could be a success or human story. <u>It does not have to be a success story – often the most interesting and useful lessons learned are from experiences that have not worked</u>. The point is to highlight a concrete example with a story that has been important to your Programme in the reporting period.

In ¼ to ½ a page, provide details on a specific achievement or lesson learned of the Programme. Attachment of supporting documents, including photos with captions, news items etc, is strongly encouraged. The MPTF Office will select stories and photos to feature in the Consolidated Annual Report, the GATEWAY and the MPTF Office Newsletter.

---

**Problem / Challenge faced:** Describe the specific problem or challenge faced by the subject of your story (this could be a problem experienced by an individual, community or government).

**Programme Interventions:** How was the problem or challenged addressed through the Programme interventions?

**Result (if applicable):** Describe the observable *change* that occurred so far as a result of the Programme interventions. For example, how did community lives change or how was the government better able to deal with the initial problem?

**Lessons Learned:** What did you (and/or other partners) learn from this situation that has helped inform and/or improve Programme (or other) interventions?

---

III.    Other Assessments or Evaluations (if applicable)

•       Report on any assessments, evaluations or studies undertaken.


IV.     Programmatic Revisions (if applicable)

•       Indicate any major adjustments in strategies, targets or key outcomes and outputs that took place.


V.      Resources (Optional)

•       Provide any information on financial management, procurement and human resources.

•       Indicate if the Programme mobilized any additional resources or interventions from other partners.

# Annex 7. Fund level Annual Progress report outline

(Example)

Executive Summary

1. Introduction
   1.1. MPHSTF  Mandate
   1.2. Governance Structure
       1.2.1. Meetings of the Steering Committee
       1.2.2.  Secretariat activities
2. Overall Progress of the Fund
   2.1. Activities
   2.2. Progress per UN MPHSTF for the Aral Sea region in Uzbekistan Results Framework outcome
3. Reporting on Results
4. Fund Implementation
   4.1. Projects/Programmes approved
   4.2. Project/Programme closed
5. Overall fund achievements and challenges
6. Financial Performance
   6.1. Sources and Uses of Funds
   6.2. Interest
   6.3. Transfers and Expenditures
   6.4. Expenditures reported by Participating Organizations
   6.5. Cost recovery
7. Transparency and Accountability
8. Conclusion
9. Annexes

# Annex 8. Final Narrative Report

**UN MPHSTF for the Aral Sea region in Uzbekistan**

**FINAL PROGRAMME**[37] **NARRATIVE REPORT**

**REPORTING PERIOD: FROM** *mm.yyyy* **TO** *mm.yyyy*

| **Programme Title & Project Number** | **Country, Locality(s), Priority Area(s) / Strategic Results**[38] |
|---|---|
| • Programme Title:<br>• Programme Number *(if applicable)*<br>• MPTF Office Project Reference Number:[39] | *(if applicable)*<br>*Country/Region*<br><br>*Priority area/ strategic results* |
| **Participating Organization(s)** | **Implementing partners** |
| • Organizations that have received direct funding from the MPTF Office under this programme | • National counterparts (government, private, NGOs & others) and other International Organizations |
| **Programme/Project Cost (US$)** | **Programme Duration** |
| Total approved budget as per project document:<br><br>MPTF /JP Contribution**[40]**:<br><br>• *by Agency (if applicable)*<br><br>Agency Contribution<br><br>• *by Agency (if applicable)*<br><br>Government Contribution<br><br>*(if applicable)* | Overall Duration *(months)*<br>Start Date[41] *(dd.mm.yyyy)*<br><br>Original End Date*[42]* *(dd.mm.yyyy)*<br><br>Actual End date[43] *(dd.mm.yyyy)*<br><br>Have agency(ies) operationally closed the Programme in its(their) system?  Yes ☐  No ☐ |

---

[37] The term "programme" is used for programmes, joint programmes and projects.

[38] Strategic Results, as formulated in the UN MPHSTF for the Aral Sea region in Uzbekistan Results Framework or project document;

[39] The MPTF Office Project Reference Number is the same number as the one on the Notification message. It is also referred to as "Project ID" on the project's factsheet page on the MPTF Office GATEWAY.

[40] The MPTF/JP Contribution is the amount transferred to the Participating UN Organizations – see MPTF Office GATEWAY

[41] The start date is the date of the first transfer of the funds from the MPTF Office as Administrative Agent. Transfer date is available on the MPTF Office GATEWAY

[42] As per approval of the original project document by the relevant decision-making body/Steering Committee.

[43] If there has been an extension, then the revised, approved end date should be reflected here. If there has been no extension approved, then the current end date is the same as the original end date. The end date is the same as the operational closure date which is when all activities for which a Participating Organization is responsible under an approved MPTF / JP have been completed. As per the MOU, agencies are to notify the MPTF Office when a programme completes its narrational activities. Please see MPTF Office Closure Guidelines.

| Other Contributions (donors) | Expected Financial Closure date[44]: |
|---|---|
| *(if applicable)* | |
| **TOTAL:** | |

| **Programme Assessment/Review/Mid-Term Eval.** | **Report Submitted By** |
|---|---|
| Evaluation Completed<br>☐ Yes ☐ No   Date: *dd.mm.yyyy*<br>Evaluation Report - Attached<br>☐ Yes☐ No   Date: *dd.mm.yyyy* | o   Name:<br><br>o   Title:<br><br>o   Participating UN Organization (Lead):<br><br>o   Email address: |

---

[44] Financial Closure requires the return of unspent balances and submission of the Certified Final Financial Statement and Report.

**Guidelines:**

The Final Programme Report template is based on the UNDG 2003 template, which is currently under review and is in line with the UNDG Results Based Management Handbook (October 2011). The Final Programme Report should be provided after the completion of the activities in the approved programmatic document and provide information on the overall results of the programme including the final year of the activities.

Building on continued efforts made in the UN system to produce results-based reports, the report should demonstrate how the outputs collectively **contributed to the achievement of the agreed upon outcomes** of the applicable Strategic (UN) Planning Framework guiding the operations of the Fund.

In support of the individual programme reports, please attach any additional relevant information and photographs, assessments, evaluations and studies undertaken or published.

Where available, the information contained in the Programme Summaries, Quarterly and/or Semi-Annual Updates and Annual Progress Reports prepared by the Participating Organizations may be used in the preparation of the Final Narrative Programme Report. These Summaries, Updates and Reports where applicable, are available in the respective Fund sections of the MPTF Office GATEWAY (http://mptf.undp.org/).

**Formatting Instructions:**

- The report should be between 10-15 pages. Include a list of the main abbreviations and acronyms that are used in the report.

- Number all pages, sections and paragraphs as indicated below.

- Format the entire document using the following font: 12point _ Times New Roman
  and do not use colours.

- The report should be submitted in one single Word or PDF file.

- Annexes can be added to the report but need to be clearly referenced, using footnotes or endnotes within the body of the narrative.

- Do not change the Names and Numbers of the Sections below.

# FINAL PROGRAMME REPORT FORMAT

## EXECUTIVE SUMMARY

- In ½ to 1 page, summarise the most important achievements of Programme during the reporting period and key elements from your detailed report below. Highlight in the summary, the elements of the main report that you consider to be the most critical to be included in the MPTF Office Consolidated Annual Report.

## Purpose

- Provide a brief introduction to the programme/ project *(one paragraph)*.

- **Provide the main objectives and expected outcomes of the programme in relation to the**

**UN MPHSTF for the Aral Sea region in Uzbekistan Results Framework and project document (if applicable) or Annual Work Plans (AWPs) over the duration of the project**.

## Assessment of Programme Results

- This section is the **most important in the Report** and particular attention should be given to reporting on **results / and changes** that have taken place rather than on activities. It has three parts to help capture this information in different ways (i. Narrative section; ii. Indicator based performance assessment; iii. Evaluation & Lessons learned; and iv. A specific story).

### i)     Narrative reporting on results:

From January to December (Year), respond to the guiding questions, indicated below to provide a narrative summary of the results achieved. The aim here is to tell the **story of change** that your Programme has achieved over its entire duration. Make reference to the implementation mechanism utilized and key partnerships.

- **Outcomes:** Outcomes are the strategic, higher level of change that your Programme is aiming to contribute towards. Provide a summary of progress made by the Programme in relation to **planned outcomes from the Project Document / AWPs,** with reference to the relevant indicator(s) in these documents. Describe if final targets were achieved, or explain any variance in achieved versus planned results. Explain the overall contribution of the programme to the Strategy Planning Framework or other strategic documents as relevant, e.g.: MDGs, National Priorities, UNDAF outcomes, etc . Explain who the main beneficiaries were. Highlight any institutional and/ or behavioural changes amongst beneficiaries at the outcome level.

- **Outputs:** Outputs are the more immediate results that your Programme is responsible for achieving. Report on the key outputs achieved over the duration of the Programme , in relation to **planned outputs from the Project Document / AWPs,** with reference to the relevant indicator(s) in these documents. Describe if final targets were achieved, or explain any variance in achieved versus planned results. If possible, include the number of beneficiaries. Report on how achieved outputs have contributed to the achievement of the outcomes and explain any variance in actual versus planned contributions to the outcomes.

- **Qualitative assessment:** Provide a qualitative assessment of the level of overall achievement of the Programme. Highlight key partnerships and explain how such relationships impacted on the achievement of results. Explain cross-cutting issues pertinent to the results being reported on. Has the funding provided by the MPTF/JP to the programme been catalytic in attracting funding or other resources from other donors?  If so, please elaborate. For Joint Programmes, highlight how UN coordination has been affected in support of achievement of results.

Using the **Programme Results Framework from the Project Document / AWPs** - provide details of the achievement of indicators at both the output and outcome level in the table below. Where it has not been possible to collect data on indicators, clear explanation should be given explaining why.

| | **Achieved Indicator Targets** | **Reasons for Variance with Planned Target (if any)** | **Source of Verification** |
|---|---|---|---|
| **Outcome 1**[45]<br><br>**Indicator:**<br><br>**Baseline:**<br><br>**Planned Target:** | | | |
| **Output 1.1**<br><br>**Indicator  1.1.1**<br><br>**Baseline:**<br><br>**Planned Target:** | | | |
| **Indicator 1.1.2**<br><br>**Baseline:**<br><br>**Planned Target:** | | | |

---

[45] Note: Outcomes, outputs, indicators and targets should be **as outlines in the Project Document** so that you report on your **actual achievements against planned targets**. Add rows as required for Outcome 2, 3 etc.

| | | | |
|---|---|---|---|
| **Output 1.2**<br><br>**Indicator  1.2.1**<br><br>**Baseline:**<br><br>**Planned Target:** | | | |
| **Indicator 1.2.2**<br><br>**Baseline:**<br><br>**Planned Target:** | | | |

Draft

### iii) Evaluation, Best Practices and Lessons Learned

- Report on any assessments, evaluations or studies undertaken relating to the programme and how they were used during implementation. Has there been a final project evaluation and what are the key findings? Provide reasons if no programme evaluation have been done yet?

- Explain challenges such as delays in programme implementation, and the nature of the constraints such as management arrangements, human resources etc. What actions were taken to mitigate these challenges? How did such challenges and actions impact on the overall achievement of results? Have any of the risks identified during the project design materialized or were there unidentified risks that came up?

- Report key lessons learned and best practices that would facilitate future programme design and implementation, including issues related to management arrangements, human resources, resources, etc. Please also include experiences of failure, which often are the richest source of lessons learned.

### iv) A Specific Story (Optional)

- This could be a success or human story. It does not have to be a success story – often the most interesting and useful lessons learned are from experiences that have not worked. The point is to highlight a concrete example with a story that has been important to your Programme.

- In ¼ to ½ a page, provide details on a specific achievement or lesson learned of the Programme. Attachment of supporting documents, including photos with captions, news items etc, is strongly encouraged. The MPTF Office will select stories and photos to feature in the Consolidated Annual Report, the GATEWAY and the MPTF Office Newsletter.

---

**Problem / Challenge faced:** Describe the specific problem or challenge faced by the subject of your story (this could be a problem experienced by an individual, community or government).

**Programme Interventions:** How was the problem or challenged addressed through the Programme interventions?

**Result (if applicable):** Describe the observable *change* that occurred so far as a result of the Programme interventions. For example, how did community lives change or how was the government better able to deal with the initial problem?

**Lessons Learned:** What did you (and/or other partners) learn from this situation that has helped inform and/or improve Programme (or other) interventions?

---