**Guidance and Requirements on Monitoring and Reporting**

**of Management Measures for**

**PIMS 5821, 5822 and 5823**

**June 2023**

1. This guidance and requirements on monitoring and reporting of management measures have been developed for PIMS 5281 (Strengthening coordinated approaches to reduce invasive alien species (IAS) threats to globally significant agrobiodiversity and agroecosystems in China); PIMS 5822 (Conservation and sustainable use of indigenous agricultural genetic diversity in Hubei); and PIMS 5823 (Participatory in-situ conservation and sustainable use of agrobiodiversity in Hainan).
2. UNDP monitors and evaluates its overall performance against the objectives and requirements of the Social and Environmental Standards. Monitoring is integrated with UNDP's Quality Assurance reporting system and Risk Register. The extent of monitoring activities is commensurate with the programme's or project's risks and impacts.
3. UNDP requires that the progress of implementation of mitigation/management plans developed for the 3 projects required by the SES is monitored and that complaints/grievances are tracked and monitored. UNDP also requires to track follow-up on any identified corrective actions and any required monitoring reports on SES implementation are finalized and disclosed.
4. Monitoring and reporting will include data disaggregated by categories of potential beneficiary and/or affected groups and include specific gender indicators. Monitoring and Evaluation process will engage and involve stakeholders and third parties identified in the Expanded Stakeholder Engagement Plan to complement or verify monitoring activities. Based on the monitoring results, any necessary corrective actions are undertaken.
5. UNDP and stakeholders are to be promptly notified of any incident or accident related to the project activities that have had (or is likely to have) significant adverse impacts on people or the environment. Immediate measures are undertaken to address and remedy the incident or accident, and to prevent any recurrence.
6. Periodic reports will be provided to the affected communities that describe progress with implementation of project management and action plans and on issues that the consultation process or grievance mechanism has identified as a concern. Any material changes or additions to the mitigation measures or actions plans will be communicated to affected communities. Reports will be provided every year and specific reporting initiatives will be identified by the PMU when needed.
7. Monitoring activities will:

* Serve the purpose of learning for future improvement and be flexible and adaptable.
* Balance quantitative and qualitative assessment.
* Use participatory tools that include target group narratives, especially women's narratives, which are crucial.
* Track and assess reversals and capture negative impacts of a project.
* Assess contribution to change instead of attribution-based frameworks.
* Be tailored to timeframes to ensure realistic measurement and reporting

**Monitoring Plan and Budget**

| **Monitoring Activity & Relevant Projects** | **Description** | **Frequency / Timeframe** | **Expected Action** | **Roles and Responsibilities** | **Cost (per project, excl. staff time** |
| --- | --- | --- | --- | --- | --- |
| PIMS 5821, 5822 and 5823 | | | | | |
| Track progress of implementation of SESP and developed management plans | Implementation of all management plans coordinated for each project, and with results reported to each Project Board meeting (Project Board meets at least 2 times a year) | Quarterly | Developed management plans are implemented for 3 projects | Project Manager of MARA, Hubei and Hainan PMOs with support from UNDP CO | None |
| Learning | Knowledge, good practices, and lessons learned regarding social and environmental risk management will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project. | At least annually | Relevant lessons are captured by the project teams of PIMS 5821, 5822 and 5823 and used to inform management decisions. | Project Manager of MARA, Hubei and Hainan PMOs with support from UNDP CO | None |
| Annual project quality assurance | The quality of the project will be assessed against UNDP’s quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project | Annually | Areas of strength and weakness will be reviewed and used to inform decisions to improve project performance | UNDP CO, with support from Project Managers of MARA, Hubei and Hainan | None |
| Review and make course corrections | Internal review of data and evidence from all monitoring actions to inform decision making | At least annually | Performance data, risks, lessons, and quality will be discussed by the project steering committee and used to make course corrections | Project Board | None |
| Annual project implementation reports | As part of progress report to be presented to the Project Steering Committee and key stakeholders, analysis, updating and recommendations for risk management will be included | Annually | Updates on progress of SESPs and management plans will be reported in the project’s annual Project Implementation Reports (PIRs). A summary of the avoidance and mitigation of potential social and environmental impacts will be included in the program annual report, sharing best practices and lessons learned across the program. | UNDP CO, UNDP-GEF RTA, Project Managers of MARA, Hubei and Hainan PMOs | None |
| Project review | The Project Board will consider updated analysis of risks and recommended risk mitigation measures at all meetings | Twice annually | Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in Project Board meetings Recommendations will be made, discussed, and agreed upon. | Project Board,  Project Manager | None |
| PIMS 5821 |  |  |  |  |  |
| Expanded Stakeholder Engagement Plan | Social inclusion of ethnic minorities, composed of Miao, Yi and Dai people from Longfei Village, which is the main village in the project targeted agricultural landscape in Chongqing; and vulnerable groups in project activities, including women and youth | Quarterly | Ensure the participation of ethnic minorities and vulnerable groups, including women and youth, in the project | Project Management Team of MARA PMO with support from UNDP CO | Part of PIMS 5821 budget |
| Free, Prior and Informed Consent (FPIC) Framework | There are ethnic minorities, composed of Miao, Yi and Dai people from Longfei Village, which is the main village in the project targeted agricultural landscape in Chongqing | Prior to any activity that may potentially impact ethnic minorities | Ensure free, prior and informed consent of ethnic minorities in project demonstration areas on any matters that may affect the rights and interests, lands, resources, territories (whether titled or untitled to the people in question) and traditional livelihoods of ethnic minorities concerned | Project Management Team of MARA PMO with support from UNDP CO | Part of PIMS 5821 budget |
| Livelihood Action Framework | There are potential risks that the improved IAS management in demonstration areas in Longfei Village in Chongqing and Hulu village in Hainan (Output 3.2, about 60 ha) and the two target agricultural landscapes in Wenchang and Bishan (Output 3.4, about 35,000 ha) will lead to economic displacement for local communities that depend on IAS as animal fodder or as source of income, because of its reduced availability | Whenever there are activities that may cause economic displacement arising from reduced availability of targeted IAS under the project occur | Ensure recommended management measures are implemented to minimize potential for economic displacement impacts on local communities that rely on IAS as animal fodder and their source of livelihood | Project Management Team of MARA PMO with support from UNDP CO | Part of PIMS 5821 budget |
| Pesticide Management Procedure | The procedure was developed to address risk arising from the use of low volume pesticides as one of IAS prevention, control and management techniques that will adversely affect plants, animals and their habitats | Quarterly | Ensure that farmers trained on IAS prevention will observe due diligence in application of IAS prevention techniques, including the application of low-volume pesticides | Project Management Team of MARA PMO with support from UNDP CO | Part of PIMS 5821 budget |
| PIMS 5822 |  |  |  |  |  |
| Livelihood Action Plan | There are potential risks that local communities that depend on non-GRFA (genetic resources for food and agriculture) crops and livestocks who switched to incentivized in-situ conservation and sustainable use of GRFA in demonstration landscapes such as Rouge rice in Yunyang, Danjiangkou Wudang Tao Tea in Wudangkou Village in the northwest of Yanchihe Town, and Black goat in Hubei Province Dabie Mountain may cause temporary economic displacement initially, specifically if the economic return prior to GRFA use is higher | Whenever there are activities that may cause economic displacement arising from the switch of local communities from non-GRFA crops and livestocks to incentivized in-situ conservation and sustainable use of GRFA | Monitor the recommended management measures in the Livelihood Action Plan to minimize economic displacement impacts caused by incentivized in-situ conservation and sustainable use of GRFA | Project Management Team of Hubei PMO with support from UNDP CO | Part of PIMS 5822 budget |
| Pesticide Management Procedure | The procedure was developed to address risk arising from the use of low volume pesticides as one of IAS prevention, control and management techniques that will adversely affect plants, animals and their habitats | Quarterly | Ensure that farmers trained on IAS prevention will observe due diligence in application of IAS prevention techniques, including the application of low-volume pesticides | Project Management Team of Hubei PMO with support from UNDP CO | Part of PIMS 5822 budget |
| PIMS 5823 |  |  |  |  |  |
| Indigenous Peoples Plan | The plan was developed to ensure that the project will not adversely affect the rights, lands, territories or resources of the Li and Miao ethnic minority people in Shang’an town in Qiongzhong Li and Miao Autonomous County, and Da’an town in Baisha Li Autonomous County | Prior to any activity that may potentially impact ethnic minorities | Ensure free, prior and informed consent and grievance redress mechanism of ethnic minorities are implemented | Project Management Team of Hainan PMO with support from UNDP CO | Part of PIMS 5823 budget |
| Livelihood Action Plan | Although the design concept of PIMS 5823 is to promote the GRFA in-situ conservation and to improve farmer’s livelihood, there is still a potential risk that local communities, including ethnic minorities could face economic displacement arising from farming approaches and practices | Whenever there are activities that may cause economic displacement arising from the switch of local communities from non-GRFA crops and livestocks to incentivized in-situ conservation and sustainable use of GRFA in demonstration landscapes such as Shanlan rice, Wuzhishan pig, and Jiaji duck | Monitor the recommended management measures in the Livelihood Action Plan to minimize economic displacement impacts caused by incentivized in-situ conservation and sustainable use of GRFA | Project Management Team of Hainan PMO with support from UNDP CO | Part of PIMS 5823 budget |
| Pesticide Management Procedure | The procedure was developed to address risk arising from the use of low volume pesticides as one of IAS prevention, control and management techniques that will adversely affect plants, animals and their habitats | Quarterly | Ensure that farmers trained on IAS prevention will observe due diligence in application of IAS prevention techniques, including the application of low-volume pesticides | Project Management Team of Hubei PMO with support from UNDP CO | Part of PIMS 5823 budget |