

**Government of People's Republic of China
United Nations Development Programme**

Project Document

**Project Title:
Strengthening Coal Mine Safety Capacity in China
(CMS)**

Brief Description: China is now the largest coal producer and consumer in the world with an estimated more than five million coal miners employed in the industry. As the dominant source of energy, China's coal sector underlies China's economic and social development. However, with the fatality rate 10 times higher than in other developing countries (i.e. India, Russia) and 100 times higher than in the US coal industry, coal mine safety is a serious problem and regarded as a top priority for nationwide workplace safety. The safety problem is especially acute in township and village mines (TVMs) where the fatality rate is almost twice the national average, largely due to inadequate management and lack of safety awareness among the poor mining communities.

The objective of this project is to assist China in resolving the many difficult issues to be resolved in its efforts to improve coal mine safety particularly in TVMs. The project will support the Chinese Government in developing appropriate legislation, policies, regulations and standards and in promoting standardization of a new system for coal mine safety supervision. Through a participatory approach, involving government, civil society organisations (CSOs) and the private sector, the project will also increase mine safety supervision capacity, improve education and awareness in coal mine safety and help to implement a more scientific approach to coal mine management, particularly of TVMs. Realization of safe and economical development in coal mining will effectively protect the rights and lives of millions of mine workers and their families and contribute to more efficient management of natural resources in the current UNDAF programme. It will also release a productive force of two million miners from primitive 'hand-got' mining methods and release thousands of families from suffering the terrible blow of mine disasters. It will provide education and guidance to poor mine workers and their families and, further, protect the rights and interests of several million women and children. From a national perspective, successful implementation of this project will, without doubt, have an important immediate and far-reaching influence for China's future economic and social development.

Signature Page

Country: People's Republic of China

UNDAF Outcome: Outcome 3 – More efficient management of natural resources and development of environmentally friendly behavior in order to ensure environmental sustainability

Expected CP Outcome: Outcome 7 – Conservation and sustainable use of biodiversity is more effective

Expected CP Output: Output 7.5 - Capacity to analyze and manage risks at the national and selected communities strengthened

Government Implementing Agency: China International Centre for Economic & Technical Exchanges (CICETE)

Government Cooperating Agencies: State Administration of Work Safety (SAWS); Provincial governments.

Programme Period: 2006-2010 Programme Component: Environment and energy for sustainable human dev. Intervention Title: Coal Mine Safety (CMS) Project Award ID: 00045645 Project ID: 00053962 Duration: 48 months, 2007-2011	Budget: \$14,424,000 Allocated resources: <ul style="list-style-type: none"> • Government \$12,400,000 • Regular (UNDP) \$2,024,000
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Agreed by	Signature	Date	Name and Title
CICETE Government/ Implementing Partner	_____	_____	Wang Yue Director-General <u>CICETE/MOFCOM</u>
UNDP	_____	_____	Khalid Malik Resident Representative <u>UNDP</u>

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Abbreviations and Acronyms

APR	Annual Project Report
AWP	Annual Work Plan
CASST	China Association of Senior Scientists and Technicians
CCII	China Coal Information Institute
CMM	Coal Mine Methane
CMS	Coal Mine Safety
CICETE	China International Center for Economic and Technical Exchanges
CMM	Coal Mine Methane
CPD	Country Programme Document
CTA	Chief Technical Advisor
FRPMTP	Fatality Rate per Million Tonne Production
GHG	Greenhouse Gas
GOC	Government of the People's Republic of China
IMECAS	Institute of Microelectronics of Chinese Academy of Science
ILO	International Labour Organization
LPMO	Local Project Management Office
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MOCI	Ministry of Coal Industry
NCICS	National Centre for International Exchange & Cooperation on Work Safety
NDRC	National Development and Reform Commission
NEX	National Execution
NGO	Non-governmental Organization
NPC	National Project coordinator
NPD	National Project Director
NPM	National Project Manager
NPMO	National Project Management Office
PAC	Project advisory committee
PAG	Project Advisory Group
PRC	People's Republic of China
PMO	Project Management Office
PSC	Project Steering Committee
SACMS	State Administration of Coal Mine Safety
SACI	State Administration of Coal Industry
SAWS	State Administration of Work Safety
SIEM	Shanxi Institute for Economic Management
SOM	State-owned Mine
CASST	Coal Industry Branch, China Association of Senior Scientist and Technicians
TBD	To be determined
T&E	Training and education
TVM	Township and Village Mine
UNDAF	United Nations Development Assistance Framework
UNDMT	United Nations Disaster Management Team
UNDP	United Nations Development Programme
WHO	World Health Organization

SECTION I – ELABORATION OF THE NARRATIVE

PART 1. SITUATION ANALYSIS

1.1. Background

Coal has long been the dominant energy source in China at around 70% of total primary energy, and it is anticipated that coal it will maintain this dominance for a least the next 20 years. Since 2000, there has been a trend of rapid development of heavy industries and these now exceed one third of total industrial output value. This has brought about increased consumption of power and over-consumption of energy in China. With this trend expected to continue, coal will play an important role in the future economic and social development of a revitalized Chinese nation. However, this will also bring increasing pressures on coal production to meet an ever-growing demand.

Currently, there are about 28,000 coal mines in China, of which 24,500 are township and village mines (TVMs). The total national raw coal production was 1.956 billion tons in 2004, of which 742 million tons (37.94%) came from township and village mines. Coal in China mainly comes from underground mines, accounting for 95% of the total coal output. Large- and medium-sized mines with a designed capacity greater than 300,000 tons per year accounted for 2% of the total existing mines, the rest, with a capacity smaller than 300,000 tons, 98%. The mechanization level in key state-owned mines (SOMs) reached 81.5% but remained very low in other mines.

The Ministry of Coal Industry (MOCI) was abolished in 1998 and was replaced by the State Administration of Coal Industry (SACI) which was formed under the State Economic and Trade Commission. SACI was dissolved in 2000 and the China Coal Industry Association was established. However, the local departments for management of coal sector were not affected and progress in structural reform has therefore not been uniform.

The State Administration of Coal Mine Safety (SACMS) was established with approval of the State Council on December 30th 1999 to exercise direct control of coal mine safety by the Central Government. The State Administration of Work Safety (SAWS) was established in 2001, jointly administered with SACMS. SAWS (SACMS) became a government body directly under the State Council in 2003. All the governments of coal producing provinces, municipalities, counties, and towns also set up corresponding management and supervisory organizations for safety in coal production throughout China. Whereas MOCI safety responsibilities had focused mainly for management of mine safety, SACMS focused mainly on mine safety supervision.

The separation of the mine management function from mine safety supervision represented a step change in the concept of mine safety management in China and followed models already established in other main coal producing countries. For example, the beginning of 20th century in the USA saw several thousand workers dying in mines every year. After efforts spanning over half a century, the USA developed a system to separate coal mine management from supervision in mine safety. In the 1960s and 1970s strict laws and regulations were issued for supervision of mine safety which resulted in the closure of a large number of small mines which did not conform to these regulations. This greatly improved the safety situation and also helped to optimize the production structure. Currently, the annual

production of coal in the USA is around 1 billion tons and fatalities are about 30 persons each year. Furthermore, the accident rate of the coal sector in the USA is considerably lower than in construction and heavy engineering industries.

In 2005, the State Council promoted the SAWS to the level of a Ministry, SACMS was established separately. SACMS is an administrative agency under the SAWS to exercise the state function of supervising coal mine safety, indicating the intention for Central Government to further strengthen the control of nationwide coal mine safety.

1.2. Mine Safety in China

Currently, the coal output of China accounts for one third of the total world output. However, the number of deaths in accidents in mines amount to 80% of the total accidents in the world's coal mines. In 2004, the fatality rate per million tons of coal production (FPMTP) in the USA was 0.039, 0.42 in India, 0.34 in Russia, 0.13 in South Africa, and 0.4 in moderately developed countries. In effect, the fatality rate in China is currently 10 times higher than the moderately developed countries, and 100 times larger than in the US coal industry.

Over the past 30 years, mine safety in China has improved considerably. The FRPMTP reduced from 8.2 in 1970 to just over 6 in 1999. Of these, the FRPMTP in key state-owned mines (SOMs) was 0.92. However, the frequency of catastrophic accidents has not changed fundamentally. In 1999, fatalities in mines in China recorded 6,478 persons. Serious accidents with fatalities of more than three persons numbered 506 and caused the deaths of 3,278 persons.

Since the founding of SACMS, and with the support of the National Development and Reform Committee (NRDC) and the State-owned Assets Supervision and Administration Commission, the safety situation has gradually changed for the better and on average the FRPMTP has reduced by 9.74% each year: 5.77 in 2000, 5.14 in 2001, 4.94 in 2002, 3.71 in 2003 3.08 in 2004 and 2.81 in 2005.

The following table illustrates the current position and shows some key statistics on coal mine safety at the beginning and end of the 10th Five-Year Plan period:

	2000	2005
RoM coal production (billion tons)	~1.00	2.19
Number of coal mines	over 45,000	28,000
Number of fatalities	5796	5938
Total number of accidents	2720	3306
Number of accidents with over 30 fatalities (<i>fatalities from these accidents</i>)	75 (1405)	58 (1739)
Fatalities per Mt of RoM production (FPMTP)	5.77	2.81
FRPMTP for TVMs	14.95	5.54

During this period, China's coal production almost doubled reaching the level of 2.2 billion tons in 2005. Although the same period saw an increase in the total number of coal mine accidents from 2720 in 2000 to 3306 in 2005, there has been a gradual improvement in terms of FPMTP. There were also fewer major accidents (those with over 30 fatalities) reducing

from 75 in 2000 to 58 in 2005, although the number of actual fatalities from these accidents increased.

This improvement is continuing with the number of accidents and fatalities per million ton of production reducing further from January to April 2006 compared with the same period in 2005.

However, average figures don't provide the full picture. In 2003, the FRPMTP was 1.07 in key state-owned mines, 3.00 in local state-owned mines and 7.61 in township and village mines (TVMs). The situation is especially serious in TVMs where the frequent occurrence of catastrophic accidents is due to many factors, e.g. overproduction and overstaffing, low technical level, low safety awareness of personnel, serious waste of resources and inadequate management. TVMs now number 24,500 (almost 87% of the total) and, since the adoption of new policy which allows private ownership of mines, the output of TVMs has increased rapidly, now amounting to 35-40% of the total national production. However, the number of deaths has reached 71% of the total, and in 2005 the FRPMTP was 5.54, almost twice the national average.

Despite the overall improvement, catastrophic accidents still occur far more regularly than in other main coal producing countries and, with coal production planned to increase further to ~2.45 billion tonnes during period of the 11th Five-Year Plan, coal mine safety remains a serious challenge. As a relatively young organisation SAWS has focused its initial activities on mine inspection and accident investigation. In order to meet the challenge of improving safety against the background rapidly increasing production SAWS now feels it must begin to focus more attention on accident prevention.

1.3. Factors influencing mine safety

There are a wide range of factors influencing coal mine safety in China. These include:

- **Shortcomings in the legal and regulatory system:** The laws and regulations for governing safety in coal mines are incomplete and some technical standards for mine design and safety are outdated. Furthermore, the safety obligations of the mine enterprises are not fully enforced with management and supervision by local government applied only partially. Interference of local protectionism also seriously impedes enforcement of laws and regulations.
- **Weak safety management infrastructures and lack of professional staff:** In mines with an annual design capacity of over 300,000 tons, the proportion of staff with an educational level lower than the junior middle school accounts for 62.67%, those higher than university and college, 5.44%, and senior engineers, 3%. For mines with a design capacity of less than 300,000 tons, the number of staff with an educational level higher than polytechnic school is less than three persons on average. Among 45 key mining enterprises which are monitored for safety, the number of technical personnel involved in the field of ventilation, methane monitoring and control, and fire and dust prevention, including the chief and deputy chief mining engineer, averages no more than five in 20 of these enterprises.

Persuading university graduates to enter the coal mining industry remains a difficult problem and from a total of 38,000 students who graduated from mining-related

university courses in the period from 1999-2002, only 10% chose to work in coal mining. More attractive incentives are therefore required to recruit graduates with mining qualifications into this sector.

- **Pressures of production and short-term profitability:** Consideration of safety in production and its associated legal obligations tends to be weak in coal mines. There are also many misconceptions, e.g. that increased investment in safety will increase costs and affect profits and local financial revenue; that implementing strictly the “Law for Safety in Production” will raise the threshold for admission into the market and discourage the introduction of foreign investment. The temptation has been for mine operators and managers to favour short-term profit above quality of development and long-term profitability. This has resulted in insufficient investment in mine safety, with an estimated shortfall in key SOMs now reaching at least 50 billion Yuan. The shortfall is estimated to be even greater in TVMs. As a result, safety conditions in coal mines have not improved significantly and, in fact, it is likely that safety capacity has reduced. **This problem is exacerbated by the fact that the issue of mine safety is not regarded as one of labour rights.**
- **Low level of education and safety awareness of mine workers:** Coal mining is a relatively dangerous and poorly paid sector and, often, only farmers from the poorest agricultural regions choose to work in collieries. According to the China Coal Information Institute (CCII), statistics show that nearly half of China’s 5.5 million coal miners are migrant workers from northern Sichuan, southern Shaanxi, and the mountainous regions of Jiangxi, Fujian and Henan provinces. With a low level of safety awareness, it is important that these poorly-educated farmers-turned-miners receive appropriate education, training and guidance.
- **Difficult mining conditions:** Many of China’s mines are classed as having difficult mining conditions. These include problems, e.g. with hydrogeology, mine gas (coal mine methane or CMM), geology, faulting, roof collapse and spontaneous coal combustion. In particular, almost half of China’s mines are classified as highly gaseous. This brings with it serious hazards and difficult safety conditions and, since the founding of new China, 19 accidents with fatalities of over 100 have taken place, resulting in the death of 3,162 persons. Of these, 18 accidents were related to gas explosion, gas and dust explosion, or gas outburst and killed 3,052 persons. **This indicates that top priority should be given to the problem of mine gas** and further research and development is urgently required to improve gas monitoring and control. The utilisation of CMM may provide the key to improving gas control in mines. This would at least partially offset the associated costs of monitoring and control and, because methane is a powerful greenhouse gas (GHG), protect the global environment. Wider use of CMM utilization could therefore help to galvanize efforts in mine gas control by bringing economic, social and environmental benefits.
- **Use of outdated mining methods and equipment:** Much of China’s coal mining industry, particularly at TVM level, is characterised by an irrational mining structure and an intensive mode of production. Of particular concern is the extensive adoption of irregular coal extraction methods in TVMs where extraction often exceeds the specified layers of seam and mining boundaries, resulting e.g. in serious water hazards. The general level of mining technology is also low in China with many technical problems to overcome, e.g. outdated mechanical and electrical equipment,

ageing ventilation facilities, insufficient gas monitoring and control capacity, inferior electrical safety, and low stability and reliability of power supply systems. Research and development into all aspects of mine production and mine safety is also insufficient.

1.4. National priorities in China

The Chinese government has always recognised the vital importance of coal for energy security in China. It has always maintained a strategic energy framework with coal as the predominant primary energy source and understands clearly that this position will not change in the foreseeable future.

The general policy for mine safety is ‘putting the people first, and safety first’. This includes improving safety levels in production, improving the monitoring and control of gas in mines and promoting health and social development in TVMs. These are all related to a coordinated approach to sustainable development of all industries in China and form an important link to the ‘five balances’ of Xiaokang required to create harmonious society: namely, balancing urban and rural development, balancing development among regions, balancing economic and social development, balancing development of man and nature, and balancing domestic development and opening-up to the outside world. Pro-active steps are being taken to reach this objective and will be more concretely pursued during the 11th Five Year Plan period (2006-2010).

The pursuit of Xiaokang reflects the strong political commitment of the Chinese Government to shift the focus of development beyond purely economic and material well being to social development and the achievement of sustainable human development outcomes. Therefore, the status of coal mine safety is seen to reflect not only the technical and management level of mines in China, but also the social and ecological environment required to ensure sustainable development and civil progress of society as a whole.

The State is therefore considering application of a ‘feed back mechanism’, which will create an environment for formulating coal laws and policies and improving safety, technical, management and team quality standards to a level appropriate for coal’s position of a mainstay of energy. The State also plans to improve systems of R&D, education and equipment manufacture to be compatible with those of a large coal-producing and consuming economy.

China’s medium-and long-term targets for a fundamental improvement of coal mine safety are divided into three stages: by 2007, both the total number and the number of serious accidents will be reduced; by 2010, the safety situation in Chinese mines will have a marked improvement and serious accidents with multiple fatalities will be effectively controlled; by 2020, the safety situation in Chinese coal mines will be improved to the level that the fatality rate will reach or approach those of moderately developed countries. Indeed, China’s Eleventh Five-Year Plan specifies that the total FRPMTP in coal mines will be reduced 25% than 2005 by 2010.

The State Council has also pledged increased financial and economic support from the Central and Local Governments with a budget of 3 billion Yuan each year from 2005 to 2007 to support the establishment of mine safety security capacity, to organize research and

development and to support the local governments financially. It is also clearly specified that the capital invested by coal enterprises for safety will be exempted from taxes.

The Chinese government is also addressing the serious safety issues associated with small mines and, between 1998 and 2001, closed 58,000 mines (70% of TVMs) that failed to comply with safety standards. More recently, at a special meeting early in 2006 following a major mine accident, the People's Congress pledged to solve the fundamental problems of TVMs within three years. It is also specified in the Eleventh Five-Year Plan that annual coal production will increase to 2.45 billion tons with 75% of the total coming from medium-to large scale coal enterprises. This will mean that the programme of closure of non-conforming small mines will continue at least into the near future.

In 2004, the State also decided to focus on construction of new large-sized mines with a total designed capacity of 1.1 billion tons of coal by 2010. In order to make full use of market mechanisms, the government is also encouraging large-sized enterprises to merge with medium- and small-sized mines. However, for medium- and small-sized mines with reliable coal reserves, the government is encouraging a combination of measures and technical upgrading.

The TVM closure programme will bring with it a number of social and economic issues to be resolved particularly at local level. There is a need therefore to review TVM closure procedures, investigate social and economic implications and develop appropriate support mechanisms within coal mining communities. Adequate financing could play a central role in ensuring effective and safe development of TVMs and there is a need to investigate appropriate financing mechanisms.

In order to accelerate the process of transformation, the responsibilities of the three levels of organization in safety will be clearly defined, i.e. 'the State will be responsible for supervision of safety, the local government, for management of safety and the mining will bear the responsibility for safety implementation'.

Coal mine gas is the major cause of accidents in China and in February 2005 the 81st routine meeting of the State Council resolved to set up a Leading Group for coordination of Prevention and Control of Mine Gas at Ministry level. Led by the National Development and Reform Commission (NRDC), the group will undertake a series of important measures to reduce mine gas explosions. In June 2005, NRDC issued a 'General Scheme for Control and Utilization of Gas' which proposed targets for three phases of gas control:

1. by the end of 2006, to reduce catastrophic accidents with fatalities of more than 100 persons in each event by one third;
2. by the end of 2010, to reduce catastrophic accidents with fatalities of more than 50 persons in each event by one third;
3. by the end of 2012, to reduce mine accidents with fatalities of over 10 persons in each event, again by one third.

1.5. International Assistance

The UN Development Assistance Framework (UNDAF) harmonizes the development assistance of UN agencies in China and supports government initiatives through multi-year programming cycles that respond to prioritised needs. As stated in UNDAF result matrix,

various UN agencies are having joint efforts contributing to China's new development era. United Nations Disaster Management Team (UNDMT) is an inter-UN body which works for sustainable disaster risk reduction and recovery from natural disasters by strengthening capacities in disaster preparedness and response. ILO supports improvement of labour laws and mechanisms to promote harmonious labour relations and protection of workers; ILO also works in awareness raising and capacity building support provided on implementation and enforcement of labour rights and principles at national and enterprise level. UNDP/UNIDO/UNEP have made their efforts in both research and practice on corporate social responsibility in the sustainable development. WHO assists China in relevant institutional capacity-building strategy and training plans support policy toward equity in health.

Recent UNDP commitments are set out in the 2006-2010 UNDAF which has identified five key priority areas where the United Nations system can provide some value added based on its comparative strengths. At least three of the five key priorities are extremely relevant to the proposed project, namely:

1. social and economic policies for equitable growth;
2. participatory methods and capacity building for effective and equitable policy implementation;
3. more efficient management of natural resources.

Furthermore, the UNDP country programme document for the People's Republic of China (2006-10) states that the UNDP will support the strengthening of disaster management efforts for natural and industrial, particularly mining sector related sectors (Paragraph 16). The proposed project seeks to compliment this reactive programme by focusing on pro-active prevention of mining disasters.

The proposed project will also contribute to China's Xiaokang vision and is particularly relevant to the 'the rule of law, human rights and civil society' (Paragraph 10 of the country programme document) which states that support is necessary to increase access to justice and the rule of law, enhance public participation and promote adherence to internationally respected human rights. This 'all round' Xiaokang vision represents a 'people's agenda' that focuses on the kind of development that makes a visible, measurable difference in the lives of people and closely mirrors China's commitment to the Millennium Development Goals (MDGs). As such, it presents a considerable opportunity for the UN system in helping government meet its goals.

The global MDG effort rests on the premise that participation of every member of society is essential to the attainment of these goals. Participation will therefore be a key tenet of the proposed project and it is recognized that active participation of all major stakeholders will be vital to ensuring a successful outcome. In this respect, it will be important to engage participation of civil society organizations (CSOs), e.g. the Coal Industry Branch of the China Association of Senior Scientists and Technicians (CASST), to provide an important pool of human resources and the Women's Federation, to maintain the gender focus of the project. Over the past few years, UNDP China has made continuing efforts in developing strategic partnerships with other development actors in China, e.g. government, the private sector, civil society, the general public and the media. Through advocacy, outreach and dialogue, UNDP has achieved noticeable results and has now fully funded several Public Private Partnership projects focusing on capacity development of local business associations

and businesses. In 2000, UNDP also launched a Public-Private Partnership Trust Fund Facility entitled 'UNDP/Government/Private Sector Partnership for Equitable and Sustainable/Socio-Economic Development'. The Facility serves as an instrument to facilitate the implementation of partnership initiatives.

The Chinese government understands that to improve mine safety, it will also be necessary to develop active international exchange and co-operation and learn from the examples and experiences of other major coal-producing nations, such as the USA, Australia, South Africa and India, who have already set up effective mine safety guarantee systems. China also hopes to learn from their experiences, e.g. in the application of advanced safety systems and technology, the control and utilization of mine gas, and the management of mine safety. In this respect, it will also be necessary to engage international coal mining organizations, both public and private, to participate in the pilot projects to demonstrate the various aspects of coal mine safety.

The authority of UNDP in facilitating international exchange and cooperation between developing and developed countries is well known. This would provide not only the scientific methodology and guidance, but would also assist in introducing experiences and lessons from more advanced coal producing nations. It is also important that China introduces advanced management concepts and management systems to overcome the difficulties and barriers to coal mine safety. UNDP's experience in this area is also beyond question.

The structural reform of the Chinese coal industry created a void between the abolition of MOCI and the establishment SACMS. This has meant that management and supervision of mine safety has to some extent been neglected. For the foreseeable future, and in certain regions of China, the repeated occurrence of accidents will remain inevitable. In the short term, SAWS and CASST alone will not be able to improve this situation significantly and must seek external support. UNDP support in all the areas mentioned above is therefore vital in improving coal mine safety conditions, in achieving higher economic, social and environment benefits, and in enhancing the guarantee system of safety and health of miners in China.

PART 2. STRATEGY

From the foregoing situation analysis it can be seen that there are many issues and problems to address in the process of improving mine safety and reducing the frequency of serious coal mine accidents in China. The proposed project will focus on some of the main ones, namely the need to:

- complete and improve the laws and policies governing coal mine safety;
- improve and strengthen the enforcement of standards and regulations;
- improve mine management and, in particular mine safety management, of TVMs;
- improve coal mine worker empowerment, education and safety awareness;
- address and research the serious problem of gas explosion and outbursts in coal mines.

The project strategy has been developed to conform with the Xiaokang vision, the MDGs and the Millennium Declaration and the international instruments to which China is party. In particular, the strategy recognises a number of priority areas where the UN system in China can provide some value added based on its comparative strengths: (a) promoting growth with

equity by helping the government develop social and economic policies; (b) a stronger focus on social development through enhanced capacity and mechanisms for participatory co-ordination, monitoring and evaluation; (c) better management of its natural resources to ensure environmental sustainability; and (e) strengthening China's role and contribution to regional and international cooperation and to multilateralism generally.

The project will adopt an integrated and participatory approach to coal mine safety and will include five key components where all components are interlinked and where each component will provide knowledge and information to inform and support other components within the project. The five key components are:

1. Improved laws, policies, regulations and standards;
2. Strengthened national and local capacities and awareness of coal mine safety;
3. Pilot demonstration projects in key aspects of coal mine safety;
4. Project dissemination and sustainability activities;
5. Project management and supporting activities.

2.1. Improved Laws, Policies, Regulations and Standards

There are many ministries and departments involved in the formulation of laws, policies, regulations and standards in China and this has led to some degree of fragmentation, making the system unclear. The task of co-ordinating the responsibilities and contributions of the various stakeholders will not be trivial and this component of the project seeks to promote cooperation and to assist in developing a more integrated and coordinated approach to mine safety policy decisions, legislation, regulation and standardisation. The CMS project also aims to support the Chinese government in developing and introducing a more robust and clearly defined 'three-tiered' command structure for mine safety enforcement, i.e. by assisting in establishing vertical coordination between: supervision at State level, overseeing at local government level, and implementation responsibility at mine enterprise level.

Although CMS project will not have the power to change laws and policies itself, the guiding aim is that it will provide an effective and coherent channel of communication to inform and influence law makers and policy decisions. In this way, this component will support China's MDGs relating to the rule of law and human rights.

Activity 1: A 'Laws, Policies, Regulations and Standards' (LPRS) Experts Group will be established to provide advice and guidance for this part of the project. An early task of the Experts Group will be to review the process and contributions of the various stakeholder ministries and departments. In order to encourage co-operation and cross-fertilization of ideas, experts will be invited from the various ministries and stakeholder organizations involved in coal mine safety activities. The group will also invite key experts on laws and policies from the international community to participate. The group will meet twice yearly to assess and discuss relevant outputs from the project and pilot demonstration projects and their implications on laws and policies. Group members will also be encouraged to report progress and promote the CMS project and its aims within their line ministries. The LPRS Expert Group will also provide input and advice to the pilot demonstration projects as appropriate.

Activity 2: Four specialist sub-groups will be established to focus on each aspect of this component, i.e. laws, policies, regulations and standards. Each sub-group will undertake an

initial review of their specific interest area to provide baseline information and data for LPRS Expert Group. It is anticipated that national review will be carried out by national consultants and the international reviews will be carried out by the international consultants recruited to the project. Of particular interest within this activity will be the current TVM closure programme and its attendant social and economic implications and the need to ensure appropriate support mechanisms within coal mining communities.

Activity 3: Based on the findings of the reviews and on discussions within the Experts Group, a host country (or countries) will be selected and an international study tour will be held to learn more about best practice in the formulation of related laws and policies, etc. A report will then be prepared to present the results and recommendations from the reviews and study tour.

Activity 4: A workshop will be held to present and discuss the review report and to make recommendations for future improvements. Key experts from overseas working in the field of laws, policies, regulations and standards will also be invited to participate.

Activity 5: The Experts Group will also investigate the feasibility of establishing a cross-ministry, high-level working group on laws regulations policies and standards. As an initial part of this activity, senior representatives from the various stakeholder ministries will be invited to attend annual meetings of the Experts Group.

On project completion, the 'Laws and Policies' Experts Group will issue a final report detailing all findings of this project component and making recommendations for future action.

2.2. Strengthened Local Capacities and Awareness of Coal Mine Safety

This project component will place a special emphasis on strengthening local management capacity and promoting safety awareness in local mining communities. An important aim will be to place safety firmly on the agenda with local mine management and to instill a culture of safety into mine workers and their families. The focus will be on training and education at three different levels: mine inspectors; mine management and supervisors; and mine workers. However, the issue is more than one of just training and education in safety; it is also one of instilling a feeling of self worth and self belief among the mining communities. The project will therefore adopt a participatory approach in supporting social development and empowerment of miners and their families, e.g. through the provision of basic education classes, tuition in social skills and training in the formation and strengthening of associations. Support from local government, CSOs (e.g. community groups, NGOs, labour unions, professional associations, and universities) and private enterprise will also be important to the success of the project and representatives from all stakeholder bodies will be encouraged to participate in the training and capacity-building programmes.

Activity 1: A 'Training and Education' (T&E) Experts Group will be formed to oversee and provide guidance to all activities within this project component. Responsibilities of the T&E Expert Group will include: coordinating T&E reviews; assessing training needs, developing T&E plans for mine inspectors, mine managers and mine workers; setting terms of reference for, advising on and endorsing training materials from SIEM (draft terms of reference for training materials can be found in Annex 1); coordinating with other T&E projects (UNDP and elsewhere); reviewing the effectiveness of the various training

programmes; and overseeing revision of training plans and training materials if necessary. The T&E Group will also meet twice annually to monitor progress with the project and discuss any future action as necessary.

Activity 2: A review will be carried out of existing T&E systems and T&E needs in China. This will include a survey of attitudes to mine safety at various management and worker levels in coal mines; a review of other training and education projects (UNDP and elsewhere); review of other training and education projects (UNDP and elsewhere). The review will produce a report with recommendations for future training activities.

Activity 3: International study tours into various aspect of coal mine safety will be undertaken to increase coal mine safety capacity and to support pilot demonstration project activities. It is anticipated that topics for the study tours will include: coal mine safety and inspection; coal mine gas monitoring, control, extraction and utilisation; and the management of TVMs. These will also be supported by a number of national study tours to seek out and investigate good safety practice and technologies already accessible within China.

Activity 4: Three ‘train the trainers’ courses will be held in Beijing: safety management for mine managers and shift supervisors; best practice in the management of TVMs; and improved safety education and training for mine workers and their families. The target audience will be training providers at six pilot sites for CMS demonstration. However, training providers from other mining communities will be invited to attend, together with appropriate attendees from national level government departments and organizations.

Activity 5: CMS training of best practice of gas extraction and gas alarm mine lamp. This activity will be targeted specifically at TVM mine managers and mine safety inspectors in the mine inspection system. This training programme will include a review of the best international and national practice, preparation training material and development of training plans.

Activity 6: Training in coal mine management for TVMs. This activity will be targeted specifically at senior and middle managers of TVMs, including those participating in the demonstration projects. This activity will be designed to compliment Activity 5 on CMS training and will take place at the pilot demonstration sites.

Activity 7: Education and awareness-raising for mine workers and their families. This activity will focus on in-situ training in TVM communities participating in the pilot demonstration projects but may also include other mining communities who have expressed interest in the CMS project. Because many mine workers and their families have a low level of education and literacy, special attention will need to be paid by the T&E Experts Group in assessing training needs and developing appropriate training and educational materials. In order to increase participation of mining communities in the CMS project, this activity will also include basic literacy classes for mine workers and their families and social training and assistance in the formation of new or strengthening of existing mine workers associations.

2.3. Pilot Demonstration Projects in Key Aspects of Coal Mine Safety

A series of pilot demonstration projects will be carried out at selected mines to demonstrate a number of key aspects of coal mine safety. Although each project will focus on one aspect,

a common emphasis will be one of engaging participation throughout the mining community. This will include mine management, mine workers and their families and local government. In this respect, it is proposed to appoint a national gender expert to the CMS project. Responsibilities of the gender expert would include: analysis and design of gender-sensitive project arrangements; development of a strategy for practically incorporating gender concerns into all project activities; development of a monitoring framework to monitor implementation of gender strategy; and, in consultation with SIEM, integrate gender-related training components into training materials.

Local partners with a national network, particularly local offices i.e. coal mine bureaus, science and technology and CSOs (including, community groups, NGOs, labour unions, professional associations, and universities) will all be important to the overall implementation of local demonstration projects. In particular, the Women's Federation will also be a key ally to maintain the gender focus of the project.

The Private Sector will be a critical partner to make the project success. Private sector bodies, individuals and business associations will be pro-actively drawn into activities wherever relevant and possible in supporting implementation of mine safety demonstrations. The companies in these businesses will help with access to economic opportunities, e.g. through business linkages, access to new technologies and training. In addition, companies and organisations from overseas will also be encouraged to participate where appropriate to provide knowledge and pass on experiences from the international coal mining community.

Five pilot demonstration projects are proposed and listed as follows:

1. To compare and analyse coal mine laws and regulations in China and overseas and to complete and improve inspection system for coal mine safety (Liaoning Province);
2. To complete technical and coal mine design standards and to investigate the role of appropriate economic and financial policies in improving coal mine safety security capacity (Henan Province);
3. To develop a standardized system of management for a TVM (Guizhou Province);
4. To demonstrate methane monitoring, advanced gas control technology and related equipment (Anhui Province);
5. To implement and investigate safety education and training in a TVM (Shanxi Province).

Knowledge and experience gained during implementation of these demonstration projects will be reported and fed back to the relevant experts group or groups and will be used, e.g. to inform future law amendments and policy decisions, review regulations and standards, update training and educational materials, and develop improved safety management procedures.

As mentioned earlier in this proposal, mine gas explosion and outbursts are by far the major cause of fatalities in the Chinese coal sector. In addition to the demonstration projects, an R&D project will be undertaken into the development of an effective and reliable remote gas monitor suitable for use down coal mines. The research work will directly benefit the demonstration sites with high gaseous coal mines, and help them to improve monitoring and control of mine and strengthen safety security capacity.

Activity 1: Local project management offices (LPMOs) will be established at each demonstration site and a specialist workgroup will be recruited to implement each individual

project. The LPMOs will be assisted by ‘Special Experts’ groups funded by the GOC to provide advice and guidance. In addition to the two Experts Groups already mentioned above, these will also include: ‘TVM management’, ‘mine gas control and utilisation’, and ‘technical standards and finance’. Initial activities will include feasibility studies to confirm selection of the pilot demonstration projects and completion of an outline plan for endorsement and presentation at the first annual review.

Activity 2: Following endorsement by the PSC and NPMO, the LPMOs will prepare a detailed implementation plan for each project. These will include a defined project monitoring and evaluation system, project reviews at specified times during project implementation and adjustment of the project implementation plan as necessary. Project activities will be specific to each particular project and further details of each can be found in Annex V. However, there will be some elements common to each project, e.g. thematic workshops and training courses etc. This activity will also establish a special group for the importation of coal mine safety equipment.

Activity 3: Project reporting activities will include: completion of the project outline and implementation plans for presentation to the NPMO and PSC; preparation of annual progress reports; presentation of progress at mid-term review; preparation of the final report for approval by the NPMO and final presentation to summarise results and lessons learned at final project workshop. Representatives from the LPMOs will also report to the NPMO and T&E Experts Group on the effectiveness of the training programmes, including recommendations for amendments or additions.

Activity 4: The aim of this activity is to provide technical backstopping and innovation in preventing coalmine gas explosion and capturing and storage of methane during the project implementation. This work will be carried out by the Institute of Microelectronics of Chinese Academy of Science (IMECAS). As such, IMECAS will also participate in national and international study tours, field trips and workshops. As part of this activity, IMECAS will also develop and test an advanced remote gas monitor at selected pilot demonstration sites. This work will include: identification of research requirements; presentation of a research proposal with an outline of initial ideas; national and international investigations; a special workshop on the topic; and overseas training. This will be followed by: laboratory research and testing and field trials of the gas monitor down the demonstration mines and compare with other gas monitor systems and identify merits and shortcomings. Outputs from this activity will include interim reports as required, annual progress reports and Final Report detailing results and progress and including recommendations for future development.

In addition to the above activities, there is also a possibility for a parallel development of CDM projects in the demonstration areas. The coalmine accidents are attributable to gas explosions caused by methane. Capturing and storage of methane is an important activity. Coal-bed methane could be captured to prevent explosion while also reducing green house gas emissions. CBM projects serve as priority under CDM and may bring extra financial income to the coal mines and therefore help the project owner to overcome the investment risk and improve its financial case. If possible, parallel CDM projects in the demonstration areas will be developed.

2.4. Project Dissemination and Sustainability Activities

Activity 1: The project website will be updated at key stages in the project and on project completion. The website will include, e.g. public domain versions of project reports and reviews, details of participants and their roles, the project summary and revised training and educational material. The website may continue as a stand-alone website with links to other safety websites or it may be integrated into a central website for coal mine safety in China.

Activity 2: A Final Workshop will be held to review the CMS project and its main findings and to present summaries of the pilot projects to an invited (targeted) audience from the coal mining industry in China. The workshop will be held in Beijing and will have a target audience of at least 200 participants.

Activity 3: Based on knowledge, experience and lessons learned during implementation of the CMS project, all training manuals, educational material and publicity from the project will be updated and copies disseminated to all local coal administrations throughout China. Specific training products will be determined during the project but it is expected that this will include compilation, by specialist trainers, of a handbook on coal production safety for the coal workers of low education levels at TVMs. This will be comprehensive with simple messages, easy-to-read through visual stimuli and easy to understand and carry. It is envisaged that mine workers will have specific handbooks for different coal mine duties. Compilation of the final handbook will have involved three stages: investigation and initial draft version (at the project outset); test and assessment (during project implementation); revision and final version (upon project completion).

Activity 4: Again, based on experience gained through implementation of the project, three train-the-trainers courses will be held: safety management for mine managers and shift supervisors; best practice in the management of TVMs; and improved safety education and training for mine workers and their families. In addition to the safety trainers who had participated in the implementation of the project itself, training providers from 10 other coal mining areas will be invited to participate.

Activity 5: Finally, the NPMO and PSC will consider establishing a Coal Mine Safety Assessment and Strategic Support Centre on project completion. The Centre would build upon the progress made during implementation of the CMS project and act as a focus for all future coal mine safety support initiatives. The Centre would be responsible, e.g. for strategic assessments and reviews, identification of priority areas for further development, future website maintenance and updates and maintenance of links and communication with the international coal mining community.

2.5. Project Management and Support

Detailed management arrangements for the CMS project are described in Section II of this proposal. In short, a National Project Director (NPD) will be appointed and supported by a vice-NPD and a National Project Management Office (NMPO) comprising primarily two National Project Managers (NPMs), a National Project Co-ordinator (NPC) and a Chief Technical Advisor (CTA).

The local projects at the community level will be managed by Local PMOs (LPMOs) which will be established by the NPMO in co-operation with local partner agencies. Local Project Managers (LPMs) report to the NPM on all activities.

Activity 1: This activity covers the establishment of a national project management office (NPMO) and all routine project management and reporting functions (See TOR in Annex II). The Inception Phase of the project will provide an opportunity for the Project Team to become acquainted with the project, e.g. its agreed strategy, expected outputs and outcomes, the stakeholders, the risks etc. It will also provide an opportunity to finalise any outstanding implementation details and present them to UNDP, CICETE and SAWS for clearance and then the Project Steering Committee (PSC) for approval.

Activity 2: Initial reviews and strategic assessments and baseline studies will be carried out in the project inception phase to support and help to define later project activities. Potential topics will include: coal mine methane monitoring, control and utilisation in small mines; the status of management in TVMs; and the status and prospects for increasing the standard of equipment and the level of mechanisation in small mines. Reports and recommendations will be produced for use in support other project components and, in particular, the pilot demonstration projects.

Activity 3: The NPMO will coordinate all project and management related workshops. These will include: the project inception workshop, a mid-term review workshop and the final project workshop. The NPMO will also coordinate all thematic workshops, symposia and related events held during the course of the project.

Activity 4: The NPMO will establish the Coal Mine Safety (CMS) website through a sub-contract (see the draft TOR in Annex II of this proposal). The website will facilitate information sharing and effective communication among project partners and stakeholders and will also help to promote public awareness of coal mine safety. The website will also act as a platform to build partnerships and share experiences in coal mine safety throughout the international community. The website will be updated and will evolve as the project progresses and will include, e.g. all relevant results and recommendations, authorised reports and guidance on coal mine safety and purpose-designed training and educational material.

2.6. Project outcome, outputs and key activities

The project aims to achieve the following specific project outcomes with a number of expected project outputs through the implementation of key project activities.

Outcome One: Improved capacity at institutional/community level to understand and implement coal mine safety measures.

Output 1: Laws, policies, regulations and standards: to provide robust and coherent legal and regulatory infrastructures to support, promote and enforce improved safety measures in coal mines.

Key activities: establish Laws, Policies, Regulations and Standards Experts Group (LPRSEG) and associated focus groups; undertake initial reviews to assess current status and institutional strengths and weaknesses; identify priority areas and training needs; design and organise study tours; prepare baseline study report, hold bi-annual progress meetings, interact with other CMS project groups; prepare final report with recommendations.

Indicators: LPRSEG and focus groups established; initial national review completed; study tours and international studies completed; review report completed; training workshop held (at least 50 key officials at national and

provincial level trained); bi-annual meetings of LPRSEG held; continuing interaction with CMS project and with stakeholder ministries to establish a cross-ministry working group; Final Report with recommendations completed; presentation to final project workshop.

Output 2: Education and Training: to improve capacity of national institutions, local governments and departments and coal mining communities to manage and implement improved safety measures, standards and regulations in coal mines.

Key activities: establish Training and Education Experts Group (TEEG); review existing T&E systems in China and overseas; undertake national and international study tours into key aspects of coal mine safety and TVM management; assess training needs and develop training plans; prepare training materials; provide training courses for safety training providers, mine safety inspectors, TVM managers and shift supervisors; and mine workers and their families; update training materials and media as required.

Indicators: TEEG established; initial reviews completed and report presented outlining training needs and detailing training plans; specialised training material and media prepared to meet the needs of each stakeholder group; 10 training providers trained (including providers from five pilot demonstration sites; 20 key managers from each pilot site and surrounding areas trained in TVM management best practice; 20 key persons from each demonstration mine receive CMS training; At least 250 mine workers and their wives at each pilot site receive basic literacy training, mine safety awareness training, and training and guidance on social development and the formation of associations, giving a total of at least 1000.

Outcome Two: A range of specific coal mine safety measures investigated, demonstrated at pilot mine sites and disseminated (horizontally and vertically) to a wider audience.

Output 3: Demonstration pilot projects to demonstrate a number of specific measures that might be applied to improve mine safety and mine safety capacity.

Key activities: establish local PMOs (LPMOs) and appoint support staff including special experts groups; identify potential demonstration projects; undertake feasibility studies to confirm selection of six pilot projects; prepare detailed design and implementation plans for each project; project endorsement by PSC and NPMO; develop monitoring and evaluation (M&E) arrangements and implement projects; prepare interim and final reports; interact and exchange ideas with other pilot projects; R&D project into the development of a remote mine gas monitor.

Indicators: LPMOs and support infrastructures established; feasibility studies completed and presented with detailed project plans for approval by NPMO and PSC; M&E arrangements presented and approved; 5 pilot demonstration projects implemented; progress and recommendations communicated to the NPMO and PSC as requested; annual, Final and topical reports prepared and presented; project summaries presented at CMS Final Workshop; annual interim reports and Final Report on R&D project to develop a remote mine gas monitor.

Output 4: Project dissemination to promote the cause of coal mine safety to a wider audience in China.

Key activities: update CMS website to include key documents from the CMS project, Project Summary, training and educational materials etc; update training manuals and educational materials based on project experience; hold Final Workshop to present summaries of CMS project and pilot demonstrations; run an updated train-the trainers course based on project experience; disseminate updated training products and media to a wider audience; promote CMS project within line ministries and work towards establishment of a cross-ministry high-level working group on coal mine safety.

Indicators: CMS website updated and (if appropriate) integrated into or linked with safety websites of appropriate line ministries and departments; all training manuals and educational material updated and disseminated to all local coal mine administrations in China; Final Workshop held and project outcomes and recommendations presented to an invited audience of 200 key officials and workers from the mining industry; CMS train-the-trainers course updated and presented as a refresher course to training providers who participated in the CMS project and also to training providers from 10 other coal mining administrations; outline proposal for a high-level cross-ministry working group on coal mine safety.

Output 5: An efficient and effective management and implementation structure for the CMS project established.

Key activities: establish NPMO and LPMOs for each pilot project; appoint experts; establish CMS website; conduct initial baseline studies and reviews; establish management structure and decision-making mechanism for the project; undertake project reviews and project adjustments where necessary.

Indicators: NPMO and LPMOs established and equipped to respond to the needs of the CMS project; CMS website established and updated at key stages in the CMS project; baseline studies and reviews completed and reports presented.

2.7. Target Beneficiaries

The principal beneficiaries of the project will be the poor miners and their families benefit through improved education and safety awareness and greater participation in future social and economic development of their communities. Miners' wives and families will also benefit through greater safety security in mines for their husbands, improved access to basic education and opportunities for social development through participation.

TVM operators will benefit through improved management capabilities and through access to a more positive and enlightened workforce. Local mining communities will also benefit from the project as TVM management and performance is improved. They will also benefit through improved education facilities and project activities aimed at social development and participatory processes. These benefits will apply to additional TVM communities and counties through replication.

Government organisations, institutions and related agencies at national, provincial, municipal and county level will benefit by strengthening capacities in coal mine safety supervision, regulation and inspection.

Local implementation agencies, CSOs (community groups, NGOs, labour unions, professional associations, and universities) and private enterprise will benefit through capacity development and improved infrastructures.

Finally, but not least, China as a nation will benefit by more effective and safer mobilisation of coal resources from TVMs to help fuel the nation's future sustainable development.

2.8. Partnership Strategy

The CMS project activities will be implemented by three principal partners:

1. The State Administration of Work Safety (SAWS) will take primary responsibility for project implementation in partnership. SAWS will also offer guidance and support to the provincial China Associations of Senior Scientists and Technicians (CASST) during implementation of the demonstration projects. Moreover, SAWS will coordinate relationships among the different government sectors during the implementation, e.g. with other ministries for the improvement of the laws and regulations.
2. The National Centre for International Exchange & Cooperation on Work Safety (NCICS) is a specialized, non-profitable service organization directly under the State Administration of Work Safety (SAWS) of China, dedicating its effort to the enhancement of China's international exchange and cooperation in the area of work safety (including coal mine safety). On behalf of the State Administration of Work Safety (SAWS), NCICS will directly organize and implement this project.
3. The Coal Industry Branch of the China Association of Senior Scientists and Technicians (CASST). CASST is a CSO and will play a key role in the project by providing an important pool of human resources that will be invaluable when considering the fast-changing situation in China's coal industry.
4. The Shanxi Institute for Economic Management (SIEM). As Shanxi Province is by far the largest coal production and has also the largest number of TVMs, SIEM will implement all training activities in the Shanxi demonstration site in co-operation with other relevant agencies. This will include the compilation of training materials and training for TVMs. To assist in completing these tasks, SIEM will also take part in other CMS project activities including national and overseas study tours, field visits, workshops and seminars. SIEM is also expected to provide considerable cost sharing to fund these activities.

In addition, the Institute of Microelectronics of Chinese Academy of Science (IMECAS) will provide technical support to CMS project activities focused on preventing coal mine gas explosions. IMECAS will also undertake R&D work into the development of an effective and reliable remote gas monitor suitable for use down coal mines. IMECAS will also provide considerable cost sharing to fund these activities.

In recognizing the importance of CSOs (e.g. community groups within mining communities, NGOs, labour unions, professional associations, and universities) in promoting people-centered development and uniting people to advance shared goals and interests, the CMS project will seek to involve participation of the civil society wherever possible. In particular, the Women's Federation will be approached as a key ally in maintaining the gender focus of the project.

The project will also strive create alliances between government and CSOs, in order to coordinate and marshal efforts towards a singular common objective; namely, the improvement of coal mine safety across all sectors of the Chinese coal mining industry.

In this respect, it will be particularly important to establish communication and cooperation between the various ministries and departments involved in the formulation of laws, policies, regulations and standards related to coal mine safety. Headed by NDRC, and in addition to SAWS and SACMS, these include the China Coal Industry Association (CCIA), the Ministry of Land and Resources, the State Environmental Protection Administration (SEPA) and the Ministry of Labour and Social Security. The project will strive to strengthen cross-sectoral coordination between the above ministries. In addition, the following organisations will be contacted and invited to participate in the CMS project: Chinese Academy of Social Sciences, China University of Mining Technology, Institute of Economy of the China Coal Research Institute and subordinate organisations of CCIA, e.g. Taiyuan Coal Mine Design Institute and Xi'an Coal Mine Design Institute.

Partnerships with the international community will also be essential for achieving the goals of programme. The CMS project will support SAWS and CASST in engaging the international community, NGOs and bi-lateral donors on matters of technical and financial cooperation for the programme.

The Private Sector will also be a critical partner in making the project a success. Private sector bodies, individuals and business associations will be pro-actively drawn into activities when possible and wherever relevant to support the development of TVMs. The companies in these businesses will help with access to economic opportunities, e.g. through business linkages, access to credit, introduction of new technologies and provision of training. Of particular importance in the respect will be participation of the China National Coal Complete Equipment Corporation who will help to facilitate equipment purchase for the pilot demonstration projects.

It is also anticipated that in addition to the pilot demonstration sites (five provinces), representatives from TVMs in other provinces (e.g. Guangxi, Xinjiang, Shaanxi, Chongqing) will also be involved in some project activities such as capacity building and baseline investigations.

PART 3. MANAGEMENT ARRANGEMENTS

3.1. National Execution (NEX)

The programme will be executed under the standard UNDP National Execution (NEX) modality. The China International Centre for Economic and Technical Exchanges (CICETE) is the Government Coordinating Agency on behalf of the Ministry of Commerce of China (MOFCOM) and the Implementing Partner directly responsible for the Government's implementation of annual work plan (AWP) for this project. The AWP describes the specific results to be achieved and will form the basic agreement between UNDP and the Implementing Partner on the use of resources. CICETE as the Implementing Partner is responsible and accountable for managing the project, achieving the project outputs, and for the effective use of UNDP resources. The reference to "Implementing Partner(s)" shall mean "Executing Agency (ies)" as used in the SBAA.

UNDP, in close collaboration with the State Administration of Work Safety (SAWS) and CICETE, will be responsible for successful programme management. For that purpose, UNDP will play project assurance role through its oversight and monitoring functions of projects.

SAWS is the designated Government Co-operating Agency. SAWS will also provide the National Project Director (NPD), the Director General of the Department of International Cooperation of SAWS. The Director General of CASST will be the Vice-NPD. The NPD will submit to CICETE and UNDP Quarterly Reports explaining progress in achieving results.

NCICS and CASST will also take charge of recruiting a National Project Managers (NPM), who will take responsibility for implementation of the project activities. The NPM will be supported by a National Project Management Office (NPMO) to be hosted by the State Administration of Work Safety (SAWS) and established by the NPD in compliance with NEX recruitment and procurement rules. Service providers for specific activities (project website development, technical research, etc) will be engaged where required based on NEX recruitment and procurement rules.

A Project Steering Committee (PSC) will be formed for the project to include CICETE, UNDP and representatives from ILO, WHO, NDRC, SAC, MOST, SAWS, SACMS, NCICS ,CASST and other stakeholder ministries or departments. It will convene annually to review progress based on Annual Reports (and Quarterly Reports) provided by the Cooperating Agency.

An **Expert Group** will also be established to include relevant national and international experts and staff from the NPMO. The Expert Group will meet annually to review progress and to report and provide advice to the PSC.

Apart from the key management functions (to be described below), a number of national and international consultants will be recruited to support the project. The expert skills required and terms of reference for these consultants will be determined during the inception phase of the CMS project. However, it is expected that these will include some of the following:

- Social and Institutional Development Expert (national and international)
- Coal Mine Safety Expert (national and international)
- Training Expert (national and international)
- Laws and Policy Expert (national and international)
- Coal Mine Management Expert (national and international)
- Coal Mine Gas Expert (national and international)
- Technical Standards Expert (national and international)
- Gender Expert (national)
- Finance and Economics Expert (national).

3.2. National Project Management Office (NPMO)

Terms of reference for the NPMO and key management functions are included in Annex II of this proposal. The NPM will lead the NPMO and all daily activities and budget

management functions. They will be supported by an international Chief Technical Advisor (CTA) for technical inputs to activities and various other staff as described. Procurement of goods (equipment, etc) and services (experts, organizational sub-contracts, etc) will follow UNDP NEX Rules for open and competitive selection.

PART 4. MONITORING AND EVALUATION

Monitoring and Evaluation (M&E) of the programme will be undertaken in line with the CPD results matrix and monitoring and evaluation plan. The Government and UNDP will be responsible for setting up the necessary M&E mechanisms, tools and conducting reviews, in order to ensure continuous monitoring and evaluation of the programme, with the view to ensuring efficient utilization of programme resources as well as accountability, transparency and integrity. The Implementing Partner will provide periodic reports on the progress, achievements and results of their projects, outlining the challenges faced in project implementation as well as resource utilization as shown in the Annual work plan (AWP). The reporting will be in accordance with the procedures and harmonized with UN agencies to the extent possible.

The Implementing Partner agrees to cooperate with UNDP for monitoring all activities supported by cash transfers and will facilitate access to relevant financial records and personnel responsible for the administration of cash provided by UNDP. To that effect, the Implementing Partner agrees to the following:

1. Periodic on-site reviews and spot checks of their financial records by UNDP or its representatives;
2. Programmatic monitoring of activities following UNDP's standards and guidance for site visits and field monitoring;
3. Special or scheduled audits. UNDP, in collaboration with other UN agencies (in consultation with the Government Coordinating Agency) will establish an annual audit plan, giving priority to audits of the Implementing Partners with large amounts of cash assistance provided by UNDP, and those whose financial management capacity needs strengthening.

Annual audits will be carried out under the current modality agreed by UNDP and CICETE during the project life.

Quarterly Reports shall be submitted by the NPD to CICETE and UNDP describing the achievement made in relation to the approved work plan and budget expended for the quarter. The report shall note any significant problems and risks encountered whether any variance in progress was noted and how the problems were resolved or shall be addressed in the following quarter.

Annual Progress Reports (APR) shall also be submitted by the NPD to CICETE and UNDP describing the progress during the year and proposed work plan for the following year for approval. The APRs will also be submitted to the Steering Committee during its annual review meetings.

A Final Report will be submitted to CICETE and UNDP at the end of the project lifetime.

Participatory monitoring and evaluation will be implemented by local representatives of the pilot demonstration projects to monitor implementation benchmarks at key intervals during the life of the projects and to assess progress on achievement of individual outputs. The participatory monitoring process will ensure co-operating partners and sponsors are kept fully informed on the status of programme outputs.

PART 5. LEGAL CONTEXT

This Project Document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Government of the People's Republic of China and the United Nations Development Programme, signed by the parties on 29 June 1979. The host country implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government cooperating agency described in that agreement. The following types of revisions may be made to this Project Document with the signature of the UNDP resident representative only, provided he or she is assured that the other signatories of the Project Document have no objections to the proposed changes. (1) revision in, or addition of, any of the annexes of the Project Document and (2) revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation.

PART 6. OTHER AGREEMENT

1. Schedule of Payment

N.B Detail of costs provided in this proposal are indicative only and will be subject to further definition and, if necessary, adjustment during the inception phase of the project and during annual reviews. However the total costs and UNDP contribution are expected to remain unchanged.

Table: Statement of Schedule of Payment by Source of Fund			
1. Government cost sharing			
	Time	Amount (US\$)	Percentage of Total (%)
First payment	Second quarter 2007	5,000,000	40
Second payment	Second quarter 2008	3,700,000	30
Last payment	Second quarter 2009	3,700,000	30
TOTAL		12,400,000	

Note: The Government Cost-sharing will come from the following four parties.

The National Centre for International Exchange & Cooperation on Work Safety (NCICS): US\$2,000,000;

The Coal Industry Branch of the China Association of Senior Scientists and Technicians (CASST): US\$6,100,000;

The Shanxi Institute for Economic Management (SIEM): US\$4,000,000;

the Institute of Microelectronics of Chinese Academy of Science (IMECAS): US\$300,000.

SECTION II – COMMON WORKPLAN & BUDGET

Annual Work Plan

Year 2007

EXPECTED CP OUTPUTS and indicators including annual targets	PLANNED ACTIVITIES <i>List all activities including M&E to be undertaken during the year towards stated CP outputs</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET			
		Q1	Q2	Q3	Q4		Source of Funds	Budget Description	Amount (US\$)	
<p>CP Output: 7.5 – Capacity to analyze and manage risks at the national and selected communities strengthened</p> <p>Target: 7.5 –</p> <p>Indicator –</p>	1. Improved laws, policies, regulations and standards									
	1.1 Establish project experts group on laws and regulations etc.									
	1.2 Initial review of laws, policies, regulations and standards: report with recommendations	X				SAWS	UNDP	71200 International Consultants	6,000	
								71300 National Consultants	4,000	
							74500 Reporting	3,000		
							72100 Service Contract	18,000		
	1.3 International study tour on laws, policies etc		X			SAWS	UNDP	74500 International Study tour	50,000	

	1.4 Training Workshop on findings of the review and study tour ; invite international experts to participate			X		SAWS	UNDP	71200 International Consultants 71300 National Consultants 74500 Other Training	3,000 7,300 30,000
	1.5 Investigate feasibility of establishing cross-ministry working group on laws, regulations. policies and standards	<i>NO ACTIVITY THIS YEAR</i>							
2. Strengthened national and local capacities and awareness of coal mine safety									
	2.1. Development of training and education plans and training materials for mine inspectors, mine managers and mine workers Experts Group to review training effectiveness, revise plan and training materials as necessary	X	X			CASST	UNDP	71200 International Consultants 71300 National Consultants 72100 Training Materials 72200 Training Facilities 72200 Equipment purchase 74500 Rental & Maintenance	5,000 3,000 15,000 28,000 50,000 10,000
	2.2 Review of existing training and education (T&E) systems and T&E needs					CASST	UNDP	74500 Reporting	7,000
	2.3 [1] International study tour in management of TVMs plus 2 national tours			X		CASST	UNDP	74500 International Study tour	50,000

	[2] Study tours in: coal mine safety and inspection and coal mine methane extraction and utilisation (1 National / 2 International tours)							74500 International Study tour	42,500
	2.4 Train-the-trainers courses: CMS training for managers; TVM management; education and safety awareness for miners and their families (Beijing)	X				CASST	UNDP	71200 International Consultants 71300 National Consultants 74500 Other Training	6,000 3,000 60,000
	2.5 Best practice training on gas alarm mine lamp and gas extraction process	X	X	X	X	CASST	UNDP	71200 International Consultants 71300 National Consultants 74500 Other Training	2,500 2,500 60,000
	2.6 Best practice training in coal mine management for TVMs: at 5 pilot sites (plus others)	X	X	X	X	CASST	UNDP	71200 International Consultants 71300 National Consultants	2,500 3,500
	2.7 Education and safety awareness-raising for mine workers and their families at selected pilot sites (plus others): basic literacy classes for miners and their families; local miners associations established or strengthened with special focus on safety		X	X	X	CASST	UNDP	71200 International Consultants 71300 National Consultants 74500 Other Training	4,500 3,500 40,000

3. Pilot demonstration projects in key aspects of coal mine safety									
3.1. LPMOs to confirm feasibility of pilot demonstration projects and complete outline plan for endorsement and presentation at the first annual review; Prepare detailed project implementation plan	X	X	X	X	SIEM				
3.2 Project implementation: establish project monitoring and evaluation scheme; commence project; conduct project reviews; adjust project implementation plan as necessary	X	X	X	X	SIEM	UNDP	71200 International Consultants	10,000	
							71300 National Consultants	5,500	
							72100 Training Material	35,000	
							74500 Other Training	60,000	
							74500 Equipment	30,000	
							74500 Rental & Maintenance	5,000	

							GOC	72200Equipment purchase (CASST)	2,569,000
								72200Equipment Purchase (SIEM)	1,940,000
								72200Equipment Purchase (IMECAS)	291,000
								75000 GMS to UNDP	50,000
								75100 Facilities and Administration	150,000
3.3. Project reporting: Present project outline implementation plans at first annual review; Prepare annual progress report			X	X		SIEM			
3.4 Technical support and development and testing of an advanced remote gas monitor: laboratory investigations; field trials; interim reports; final report	X	X	X	X		SIEM			
4. Project dissemination and sustainability activities									
4.1 Update project website at key stages in the project	X	X	X	X					
4.2 Final workshop to present summaries of the pilot projects to invited audience from the mining industry	<i>NO ACTIVITY THIS YEAR</i>								
4.3 Based on the project experience, update training manuals and educational material						IMECAS	UNDP	71300 National Consultants	14,000

	4.4 Run a training course for safety trainers from 10 other mining areas	<i>NO ACTIVITY THIS YEAR</i>							
	4.5 Consider establishing a mine safety study, assessment and support centre on project completion.	<i>NO ACTIVITY THIS YEAR</i>				IMECAS	UNDP	72100 Service Contract 74500 Reporting	28,000 8,000
5. Project management and support for CMS project									
	5.1 NPMO fully operational to provide management support to CMS project activities	X	X	X	X	SAWS CICETE	UNDP	74500 Inception Study tour 74500 Rental and maintenance 71600 Travel 75100 Facilities and Administration 74500 Miscellaneous 74100 Audit	42,500 17,000 18,000 20,000 7,700 2,000
	5.2 Complete initial reviews and strategic assessments: report with findings and recommendations								
	5.3. Hold inception workshop					SAWS		74500 Inception Workshop	30,000

	5.4. Establish CMS project website (Maintenance and update of the website now reported under item 5, 'Project dissemination and sustainability')		SAWS			
	5.5 Establish a project steering committee		SAWS CICETE		74500 International study tour	42,000
TOTAL						\$5,894,500

Annual Work Plan

Year 2008

EXPECTED CP OUTPUTS and indicators including annual targets	PLANNED ACTIVITIES <i>List all activities including M&E to be undertaken during the year towards stated CP outputs</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Source of Funds	Budget Description	Amount (US\$)
<p>CP Output: 7.5 – Capacity to analyze and manage risks at the national and selected communities strengthened</p> <p>Target: 7.5 –</p> <p>Indicator –</p>	1. Improved laws, policies, regulations and standards								
	1.1 Establish Project experts group on laws and regulations etc.	<i>COMPLETED</i>				SAWS			
	1.2 Initial review and report of laws, policies, regulations in China and internationally.	<i>COMPLETED</i>				SAWS			
	1.3 International study tour on laws, policies etc	<i>COMPLETED</i>				SAWS			
	1.4 Training? Workshop on findings of the review; invite international experts to participate	<i>COMPLETED</i>				SAWS			
	1.5 Investigate feasibility of establishing cross-ministry working group on laws, regulations. policies and standards	X	X	X	X	SAWS	UNDP	71200 International Consultants 71300 National Consultants	4,000 2,000

2. Strengthened national and local capacities and awareness of coal mine safety									
2.1. Experts Group to review training effectiveness, revise plan and training materials as necessary	X	X	X	X	CASST	UNDP	71200 International Consultants 71300 National Consultants 72100 Service Contract 72200 Training Facilities 72200 Equipment purchase 74500 Rental & Maintenance	5,000 3,350 10,000 15,000 37,000 10,000	
2.2 Review and report of existing training and education (T&E) systems and T&E needs	<i>COMPLETED</i>								
2.3 International study tour in coal mine safety and inspection plus 2 national study tours		X			CASST				
2.4 Train-the-trainers course	<i>COMPLETED</i>								
2.5 Best practice training on gas alarm mine lamp and gas extraction process	X	X	X	X	CASST	UNDP	71200 International Consultants 71300 National Consultants 74500 Other Training	5,500 4,000 65,000	
2.6 Best practice training in coal mine management for TVMs	X	X	X	X	CASST	UNDP	71200 International Consultants 71300 National Consultants	5,500 2,000	

	2.7 Education and safety awareness-raising for mine workers and their families including basic literacy classes for miners and their families and guidance in the formation and strengthening of local miners associations	X	X	X	X	CASST	UNDP	71200 International Consultants 71300 National Consultants 74100 Reporting	5,500 2,000 2,000
3. Pilot demonstration projects in key aspects of coal mine safety									
	3.1.LPMOs fully operational to provide management support to the pilot demonstration projects	X	X	X	X	SIEM			
	3.2 Project implementation including: project monitoring and evaluation; project reviews; and adjustments to project implementation plan as necessary	X	X	X	X	SIEM	UNDP	71200 International Consultants 71300 National Consultants 72100 Training Material 72200 Equipment 74500 Other Training 74500 Rental & Maintenance	7,000 4,000 17,000 44,000 60,000 5,000

							GOC	72200Equipment purchase (SAWS)	970,000
								72200Equipment purchase (CASST)	642,000
								72200Equipment Purchase (SIEM)	1,940,000
								75000 GMS to UNDP	37,000
								75100 Facilities and Administration	111,000
3.3. Project reporting: prepare annual progress reports; present progress at mid-term review	X	X	X	X	SIEM				
3.4 Technical support and development and testing of an advanced remote gas monitor: laboratory investigations; interim reports; annual report	X	X	X	X	SIEM				
4. Project dissemination and sustainability activities									
4.1 Update project website at key stages in the project	X	X	X	X					
4.2 Final workshop to present summaries of the pilot projects to invited audience from the mining industry	<i>NO ACTIVITY THIS YEAR</i>								
4.3 Based on the project experience, update training manuals and educational material	<i>NO ACTIVITY THIS YEAR</i>				IMECAS	UNDP	72100 Service Contract	28,000	
							74500 Reporting	3,000	

	4.4 Run a training course for safety trainers from 10 other mining areas	<i>NO ACTIVITY THIS YEAR</i>							
	4.5 Consider establishing a mine safety study, assessment and support centre on project completion.	<i>NO ACTIVITY THIS YEAR</i>							
5. Project management and support for CMS project									
	5.1 Continuing management support of NPMO to CMS project; hold mid-term workshop				X	SAWS CICETE	UNDP	71200 International Consultants 71300 National Consultants 74100 Reporting costs 74500 International study tour 74500 Other training 74500 Mid-term Workshop 74500 rental and maintenance 71600 Travel 75100 Facilities and Administration 74500 Miscellaneous 74100 Audit	23,000 14,350 11,000 40,000 40,000 30,000 10,000 17,000 15,000 6,000 2,000
	5.2 Initial reviews and strategic assessments								
	5.3. Inception workshop								
	5.4. Establish CMSS website								

	5.5 Establish a project steering committee		SAWS CICETE	UNDP	74500 International study tour	45,000
TOTAL						\$4,299,200

Annual Work Plan

Year 2009

EXPECTED CP OUTPUTS and indicators including annual targets	PLANNED ACTIVITIES <i>List all activities including M&E to be undertaken during the year towards stated CP outputs</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Source of Funds	Budget Description	Amount (US\$)
<p>CP Output: 7.5 – Capacity to analyze and manage risks at the national and selected communities strengthened</p> <p>Target: 7.5 –</p> <p>Indicator –</p>	1. Improved laws, policies, regulations and standards								
	1.1 Establish project experts group on laws and regulations etc.	<i>COMPLETED</i>				SAWS			
	1.2 Initial review and report of laws, policies, regulations in China and internationally.	<i>COMPLETED</i>				SAWS			
	1.3 International study tour on laws, policies etc	<i>COMPLETED</i>				SAWS			
	1.4 Training workshop on findings of the review; invite international experts to participate	<i>COMPLETED</i>				SAWS			
	1.5 Investigate feasibility of establishing cross-ministry working group on laws, regulations, policies and standards	X	X	X	X	SAWS	UNDP	71200 International Consultants 71300 National Consultants	8,000 4,000

2. Strengthened national and local capacities and awareness of coal mine safety									
2.1. Experts Group to review training effectiveness, revise plan and training materials as necessary	X	X	X	X	CASST	UNDP	71200 International Consultants 71300 National Consultants 72100 Service contract 72200 Equipment purchase 74100 Reporting 74500 Rental & Maintenance	30,000 23,200 10,000 37,000 3,000 10,000	
2.2 Review of existing training and education (T&E) systems and T&E needs									
2.3 International study tour of coal mine methane extraction and utilisation plus 1 national study tour		X			CASST	UNDP	74500 International study tour	45,000	
2.4 Train-the-trainers course									
2.5 Best practice training on gas alarm mine lamp and gas extraction process					CASST	UNDP	74500 Other training	60,000	
2.6 Best practice training in coal mine management for TVMs									

	2.7 Education and awareness-raising for mine workers and their families including basic literacy classes for miners and their families and guidance in the formation and strengthening of local miners associations					
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3. Pilot demonstration projects in key aspects of coal mine safety									
3.1.LPMOs fully operational to provide management support to the pilot demonstration projects	X	X	X	X	SIEM				
3.2 Project implementation including: project monitoring and evaluation; project reviews; and adjustments to project implementation plan as necessary	X	X	X	X	SIEM	UNDP	74500	Rental & Maintenance	5,000
						GOC	72200	Equipment purchase (SAWS)	970,000
							72200	Equipment purchase (CASST)	2,582,000
							75000	GMS to UNDP	37,000
							75100	Facilities and Administration	111,000
3.3. Project reporting: prepare annual progress report; start to prepare draft final report	X	X	X	X	SIEM				
3.4 Technical support and development and testing of an advanced remote gas monitor: laboratory investigations; field trials; interim reports; final report	X	X	X	X	SIEM				
4. Project dissemination and sustainability activities									
4.1 Update project website at key stages in the project	X	X	X	X	IMECAS	UNDP	72100	Service Contract	10,000

4.2 Final workshop to present summaries of the pilot projects to invited audience from the mining industry	<i>NO ACTIVITY THIS YEAR</i>							
4.3 Based on the project experience, update training manuals and educational material	<i>NO ACTIVITY THIS YEAR</i>							
4.4 Run a training course for safety trainers from 10 other mining areas	<i>NO ACTIVITY THIS YEAR</i>							
4.5 Consider establishing a mine safety study, assessment and support centre on project completion.			X	X	IMECAS	UNDP	74500 Reporting	5,000
5. Project management and support for CMS project								
5.1 Continuing management support of NPMO to CMS project	X	X	X	X	SAWS CICETE	UNDP	71200 International Consultants 72200 Equipment purchase 74500 Rental & maintenance 71600 Travel 74500 Miscellaneous 75100 Facilities and Administration 74100 Audit	13,000 9,000 5,000 15,000 5,000 15,000 2,000
5.2 Initial reviews and strategic assessments								
5.3. Inception workshop								

	5.4. Establish CMSS website					
	5.5 Establish a project steering committee		SAWS CICETE	UNDP	74500 International study tour	28,950
TOTAL						\$4,043,150

Annual Work Plan

Year 2010

EXPECTED CP OUTPUTS and indicators including annual targets	PLANNED ACTIVITIES <i>List all activities including M&E to be undertaken during the year towards stated CP outputs</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Source of Funds	Budget Description	Amount (US\$)
CP Output: 7.5 – Capacity to analyze and manage risks at the national and selected communities strengthened Target: 7.5 – Indicator –	1. Improved laws, policies, regulations and standards								
	1.1 Establish project experts group on laws and regulations etc.								
	1.2 Initial review of laws, policies, regulations in China and internationally.								
	1.3 International study tour on laws and policies								
	1.4 Training workshop on findings of the review								
1.5 Investigate feasibility of establishing cross-ministry working group on laws, regulations, policies and standards	X	X			SAWS	UNDP	71200 International Consultants 71300 National Consultants 74500 Printing	4,000 2,000 3,000	

1.6 Experts Group to review experience gained and lessons learned from the CMS project and present final report	X	X			SAWS	UNDP	71200 International Consultants 71300 National Consultants	8,000 4,000
2. Strengthened national and local capacities and awareness of coal mine safety								
2.1. Experts Group to review training effectiveness, revise training materials as necessary and present a Final Report	X	X			CASST	UNDP	71200 International Consultants 71300 National Consultants 72100 Service contract 74100 Printing 74500 Final workshop	18,500 10,700 10,000 7,000 40,000
2.2 Review of existing training and education (T&E) systems and T&E needs								
2.3 International study tours								
2.4 Train-the-trainers course								
2.5 Best practice training on gas alarm mine lamp and gas extraction process								
2.6 Best practice training in coal mine management for TVMs								

	2.7 Education and safety awareness-raising for mine workers and their families including basic literacy classes for miners and their families and guidance in the formation and strengthening of local miners associations					
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3. Pilot demonstration projects in key aspects of coal mine safety								
3.1 LPMO still operational to provide management support to reporting of project progress and for project closure, etc.	X	X			SIEM	UNDP	74100 Printing	2,500
3.2 Project implementation								
3.3 Project reporting: complete draft final report and submit for approval; present agreed final report at final project workshop.	X	X			SIEM			
3.4 Development and testing of an advanced remote gas monitor								
4. Project dissemination and sustainability activities								
4.1 Update project website on project completion to include revised training and educational material and project summary	X	X			IMECAS			
4.2 Final workshop to present summaries of the pilot projects to invited audience from the mining industry		X			IMECAS			
4.3 Based on the project experience, update training manuals and educational material	X	X			IMECAS			

	4.4 Run a training course to update training providers in pilot sites and include safety trainers from 10 other mining areas 3 courses: CMS for mine managers; best practice in TVM management; education and safety awareness for mining communities		X			IMECAS			
	4.5 Consider establishing a mine safety assessment, study and support centre on project completion	X	X			IMECAS			
5. Project management and support for CMS project									
	5.1 Continuing management support of NPMO to CMS project closure, final reporting, dissemination, etc	X	X			SAWS CICETE	UNDP	71200 International Consultants 71300 National Consultants 74100 Reporting 74500 Other training 71600 Travel 74500 Miscellaneous 75100 Facilities and Administration 74100 Audit	14,000 7,300 3,000 30,000 10,000 4,150 7,000 2,000
	5.2 Initial reviews and strategic assessments								
	5.3. Inception workshop								

	5.4. Establish CMSS website					
	5.5 Establish a project steering committee		SAWS CICETE			
TOTAL						\$187,150

The Annual Work Plan (AWP) Monitoring Tool

Year: 2007

CP Component - Environment and energy for sustainable human development

Implementing Partner - CICETE

EXPECTED CP OUTPUTS AND INDICATORS INCLUDING ANNUAL TARGETS	PLANNED ACTIVITIES <i>List all the activities including monitoring and evaluation activities to be undertaken during the year towards stated CP outputs</i>	EXPENDITURES <i>List actual expenditures against activities completed</i>	RESULTS OF ACTIVITIES <i>For each activity, state the results of the activity</i>	PROGRESS TOWARDS ACHIEVING CP OUTPUTS Using data on annual indicator targets, state progress towards achieving the CP outputs. Where relevant, comment on factors that facilitated and/or constrained achievement of results including: <ul style="list-style-type: none"> - Whether risks and assumptions as identified in the CP M&E Framework materialized or whether new risks emerged - Internal factors such as timing of inputs and activities, quality of products and services, coordination and/or other management issues
CP Output: 7.5 – Capacity to analyze and manage risks at the national and selected communities strengthened Target: 7.5 – Indicator –	1. Improved laws, policies, regulations and standards			
	1.1 Establish a project Experts Group on laws, policies, regulations and standards. Invite experts from other stakeholder organisations. Set up focus groups to investigate each of the four aspects: laws, policies, regulations and standards.			
	1.2 Initial review of laws, policies, regulations and standards in China and internationally. Report with recommendations			

2. Strengthened national and local capacities and awareness of coal mine safety			
2.1. Establish a training and education Experts Group			
2.2 Review existing training and education (T&E) systems and T&E needs including a survey of attitudes to mine safety and a review of other relevant training and education projects (UNDP and elsewhere); Report with recommendations			
2.3 Study tours in: coal mine safety and inspection and coal mine methane extraction and utilisation (1 National / 2 International tours)			
3. Pilot demonstration projects in key aspects of coal mine safety			
3.1. Establish local Project Management Offices (LPMOs) including selection and appointment of staff			
4. Project dissemination and sustainability activities			
NO ACTIVITY THIS YEAR			
5. Project management and support for CMS project			

	<p>5.1 National project management office (NPMO) established at SACMS or CASST with staff and facilities to support project activities</p> <p>(see TORs for NPMO, Inception phase and key appointed staff)</p>			
	<p>5.2 Complete initial reviews and strategic assessments completed and present report</p>			
	<p>5.3. Hold inception workshop</p>			
	<p>5.4. Establish CMS website</p>			