



**Country: The People's Republic of China**  
**Initiation Plan**

**Project Title: Support for the Development of a Social Governance Assessment Framework in China**

**Expected CP Outcome(s): Outcome 2: Empower communities and civil society to participate in shaping China's cultural and socio-economic development.**

Indicator 2.1: Improved capacity, knowledge and skills of communities

and civil society on poor and vulnerable rights, to support meaningful participation in local and national social-economic and cultural development processes.

Indicator 2.2: No. of recommendations for policy and institutional changes produced in areas of promoting equal access to justice, civil society development, and a supportive legal framework to policy and legislative makers

**Initiation Plan Start Date: 6 August 2011**

**Initiation Plan End Date: 31 December 2011**

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

**Government Cooperating Agency: China Center for Comparative Politics & Economics (CCCPE)**

**Brief Description**

After the 16<sup>th</sup> CPC Congress, a new trend in China's governance and governance assessment development was initiated. Social management has been incorporated into China's overall strategy of building a harmonious socialist society. To conduct a reasonable assessment of the status quo of social governance, a sound social governance assessment framework, complete with a set of indicators, must be established.

Building on the first ever Chinese governance assessment framework developed in 2009, this project aims to 1) develop a feasible and practical framework of social governance assessment with concrete indicators, based on a broad consensus, and in accordance with the Chinese Government's social management innovation targets and practical needs; 2) to use this social governance assessment framework to conduct assessments at five project pilot sites, and utilize these practical experiences and feedback to further improve the social governance assessment framework; 3) support capacity building and knowledge-sharing of best practices and experiences in social governance assessment at home and abroad by publishing an annual blue book and a journal on social governance, promoting social governance assessment exchanges and cooperation.

Programme Period: 2011-2015  
Initiation Plan Period: August- December 2011  
CPAP Programme Component: \_\_\_\_\_  
Atlas Award ID: \_\_\_\_\_  
PAC Meeting Date \_\_\_\_\_

Total resources required US\$100,000  
Total allocated resources: US\$ 100,000  
(UNDP Oslo Governance Center)  
• Regular \_\_\_\_\_  
• Other: \_\_\_\_\_  
    o Donor \_\_\_\_\_  
    o Donor \_\_\_\_\_  
    o Donor \_\_\_\_\_  
    o Government \_\_\_\_\_  
Unfunded budget: \_\_\_\_\_  
In-kind Contributions \_\_\_\_\_

Agreed by (Government Implementing Partner):



Mr. Yao Shenhong, Director General, China International Center for Economic and Technical Exchanges (CICETE)

Agreed by (Government Cooperating Agency):



Prof. Yu Keping, Director, China Center for Comparative Politics & Economics (CCCPE)

Agreed by (UNDP):



Ms. Renata Lok-Dessallien, Resident Representative, UNDP China

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## **I. PURPOSE**

In 2008, UNDP partnered with the China Center for Comparative Politics and Economics (CCCPE) to produce China's first comprehensive governance assessment framework, with technical inputs from the UNDP Oslo Governance Centre (OGC) and based on consultations with around 300 academics, social organizations and government. The framework identified twelve areas of assessment, including Civic Participation, Human and Civic Rights, Intra-Party Democracy, Rule of Law, Legitimacy, Social Stability, Openness of Government Affairs, Administrative Effectiveness, Accountability, Government Cleanliness, and Public Service. The governance assessment framework was shared internally with the senior CPC members through CPC's 'theoretical research updates' and the full research was documented in the publication, 'Governance Assessment: China and the World' published in 2009.

An independent review by OGC found that the 10-month initiative was innovative. It is the first time that a comprehensive governance framework has ever been constructed in China. The initiative is also catalytic, as many local governments would like to apply the framework in their jurisdictions. The 2008 project was implemented in a participatory manner and completed efficiently with strong national ownership. The project is sustainable, as there are plans to scale up.

With the aim to further the achievements of the 2008 project, UNDP, CCCPE and CICETE decide to formulate a new project to further develop a social governance framework with concrete indicators by incorporating the essence of the previous governance assessment framework, and using this social governance assessment framework, measure and assess the status and progress of China social governance within the project cycle 2011-2015.

This initiation plan aims to support the formulation process and start-up activities in the project preparatory period of four months. It will smooth project formulation and lay foundation for implementing project activities, realizing project outputs and outcomes after the inception of the new project.

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## **II. EXPECTED OUTPUT**

The initiation plan will incorporate the essence of the 2008 'Governance Assessment Framework' in developing the 'Social Governance Assessment Framework', and identify concrete indicators broadly connected with the 12 dimensions determined in the 2008 'Governance Assessment Framework'. The expected outputs of the initiation plan are:

- 1) To conduct baseline study and hold a consultative workshop to support the development of China Social Governance Assessment Framework. The baseline study will collect and analyse the status quo of social governance and its assessment in China. A consultative workshop will be held to bring party and government decision makers, academia and the civil society to discuss the key components of social governance assessment framework.
- 2) To build partnership with five piloting sites and establish five project task forces at the local level. Consultation will be held at the local piloting sites to conduct needs assessment, analyse status quo of social governance assessment, build capacity of the task forces and increase awareness of social governance assessment
- 3) To launch the quarterly journal of 'China governance review', set up the editorial committee and publish two editions of the journal. The journal will serve as a platform to exchange information of governance assessment, track the governance development trend and increase governance awareness and project visibility.

### **III. MANAGEMENT ARRANGEMENTS**

The China International Center for Economic and Technical Exchanges (CICETE) is nominated by the Ministry of Commerce of China (MOFCOM) as the Government Implementing Partner directly responsible for the Government's participation in the Annual Work Plan (AWP) of this initiation plan. The four-month AWP describes the specific results to be achieved and will form the basic agreement between UNDP and the Government Cooperating Agency 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. More specifically, as National Executing Agency (NEA), CICETE will assume responsibilities specified in the national executing (NEX) manual, viz. ensuring that the Government Cooperating Agency, CCCPE, produces a clear and updated work plan; that inputs are mobilized as required by the project authority and that the related outputs are produced according to the project objectives and related work plan, and that NEX rules and regulations are followed on the use of project funds, particularly for procurement.

CCCPE is the Government Cooperating Agency for this initial plan. Accordingly, it is accountable to the NEA and UNDP for implementing the spirit of the initiation plan to the best of its ability. More specifically, CCCPE is responsible for nominating a National Project Director (NPD) and a National Project Manager (NPM) for the initiation plan, both of which will be approved by the Project Board at its first meeting. CCCPE is also responsible for establishing a Project Management Office (PMO) at its premises.

UNDP is signatory to this initiation plan and is responsible for making funds available under approved budget items and ensuring compliance with UNDP policies on use of project funds. UNDP will support the NEA upon request throughout the initiation plan period including orienting and training national project personnel at the outset. UNDP will ensure the introduction of the most suitable international practices on the subject of this initiation plan in cooperation with its partner UN Agencies and donor(s) of this initiation plan. Finally UNDP will help in arranging and monitoring the outputs of the initiation plan and its evaluation.

#### **Project Board**

- The Project Board is responsible for making consensus management decisions for a project.
- In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that ensure best value for money, fairness, integrity, transparency and effective international competition.
- The Project Board will review and approve the Annual Work Plan proposed by the PMO.
- Project reviews by this group are made at designated decision points during the life of the project, and whenever requested by the Project Manager.
- The members of the Project Board will be recommended for approval during the PAC meeting.
- The Project Board will at a minimum include the NPD (and sometimes the national project manager (NPM)), the UNDP Programme Manager, and the CICETE Programme Manager.
- Other stakeholders and experts may participate in the Project Board as appropriate.
- The Project Board will meet at least once in the initiation period to review progress and discuss any upcoming issues, and whenever requested by the Project Manager.
- The Project Board will meet as soon as possible after the initiation plan has been signed in order to review and approve the first Annual Work Plan.

#### **Project Management Office (PMO)**

- The PMO is responsible for the organizing of each activity guided by the National Project Director (NPD).
- The NPD is responsible for the day-to-day operation of this initiation plan. NPD will guide the implementation of each activity, overview all the documents to UNDP and CCCPE, and sign on it when necessary.

- The PMO is also responsible for the preparation of all documents to UNDP and CICETE, such as Annual Project Report (APR), Annual Work Plan (AWP) etc.
- The PMO is composed of at least 2 members, one national project manager (NPM) and another one staff.

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#### **IV. MONITORING**

Monitoring and evaluation (M&E) of the initiation plan will be undertaken in line with the UNDAF results matrix and monitoring and evaluation plan, as well as the UNDP Country Programme Results Framework. Project monitoring and evaluation will be conducted with focus on outcomes and outputs of interventions, institutional results and partnerships, policy advice and dialogue, advocacy and coordination.

The Implementing Partner (CICETE) will submit to UNDP an Annual Project Review, including the Annual Work Plan Monitoring Tool. The Cooperating Agency (CCCPE) will submit to the Implementing Partner, and copying UNDP, a progress report of the initiation plan summarizing all activities implemented and lessons learnt, and evaluating achievement of outputs.

Monitoring visits to attend activities will be conducted by UNDP and CICETE, to assess progress and results through consultations with relevant stakeholders and beneficiaries. The final review meeting at the end of the initiation plan will review the progress report.

## V. ANNUAL WORK PLAN

Year: August-December 2011 (US\$100,000)

| EXPECTED OUTPUTS<br><i>And baseline, associated indicators and annual targets</i>  | PLANNED ACTIVITIES<br><i>List activity results and associated actions</i>  | TIMEFRAME |    |    |    | RESPONSIBLE PARTY | PLANNED BUDGET |                    |               |
|--|--|-----------|----|----|----|-------------------|----------------|--------------------|---------------|
|  |  | Q1        | Q2 | Q3 | Q4 |                   | Funding Source | Budget Description | Amount (US\$) |
| <b>Output 1</b><br>China Social Governance Assessment Framework with a set of concrete indicators developed.                                     | <b>Activity One</b><br>Baseline study conducted on the status quo Social Governance and its assessment   |           |    |    |    |                   | 71300          | 5000               |               |
|  |  |           | x  |    |    | 30000             | 72100          | 5000               |               |
|  |  |           |    | x  |    |                   | 71600          | 5000               |               |
|  |  |           |    |    |    |                   | 74500          | 3600               |               |
|  |  |           |    |    |    |                   | 75100          | 1400               |               |
| <b>Baseline:</b><br>The established governance assessment framework serves as the foundation for the further development of concrete indicators. | <b>Activity Two</b><br>Consultative workshops held to bring party and government decision-makers, academia and the civil society to discuss key components of social governance assessment |           |    |    |    |                   | 71300          | 2000               |               |
|  |  |           |    |    |    |                   | 75700          | 5000               |               |
|  |  |           |    |    |    | 30000             | 74500          | 2300               |               |
| <b>Indicators:</b><br>Creation of a set of indicators within the social governance assessment  |  |           |    |    |    |                   | 75100          | 700                |               |
|  |  |           |    |    |    |                   |                |                    |               |
| <b>Output 2</b><br>Piloting the social governance assessment   | <b>Activity One</b><br>Building partnership with five piloting sites   |           | x  |    | x  |                   | 71300          | 2000               |               |

|   |  |       |       |
|---|--|-------|-------|
| framework and the indicators system at the local level to advocate social governance assessment policy  | and establish project task force on social governance assessment at the local level  | 75700 | 5000  |
|   |  | 74500 | 2300  |
| <b>Baseline:</b><br>Social innovation experiences has been accumulated in local governments with support from central government<br>Indicators:<br>Innovations in local government such as Hangzhou, Jiangyin etc | <b>Activity Two</b><br>Consultation will be held at the local piloting sites to conduct needs assessment, analyse status quo of social governance assessment, build capacity of the task forces and increase awareness of social governance assessment | 75100 | 700   |
|   |  | 71300 | 2000  |
|   |  | 75700 | 5000  |
|   |  | 74500 | 2300  |
|   |  | 75100 | 700   |
| <b>Output 3</b><br>Compile and publish a quarterly journal, 'China's Governance Review'<br><b>Baseline:</b><br>Lack of regular and authoritative updates on most recent development                               | <b>Activity One</b><br>launching the quarterly journal of 'China governance review' and setting up the editorial committee<br><b>Activity Two</b>  | 71300 | 2000  |
|   |  | 75700 | 5000  |
|   |  | 74500 | 2300  |
|   |  | 75100 | 700   |
|   |  | 71300 | 10000 |

|  |  |  |  |  |  |  |  |  |       |       |         |
|--|--|--|--|--|--|--|--|--|-------|-------|---------|
| of governance<br><b>Indicator:</b><br>Quarterly journal on<br>governance review<br>published | Publishing the first and<br>the second edition of<br>the journal |  |  |  |  |  |  |  | 74200 | 20000 |         |
|  |  |  |  |  |  |  |  |  | 74500 | 7200  |         |
|  |  |  |  |  |  |  |  |  | 75100 | 2800  |         |
| <b>TOTAL</b>   |  |  |  |  |  |  |  |  |       |       | 100,000 |