



GLOBAL PROJECT DOCUMENT

Project Title: GLOBAL PROJECT ON SUPPORTING CORE GOVERNMENT FUNCTIONS TO ADDRESS FRAGILITY AND BUILD RESILIENCE

Project Number: 96753

Implementing Partner: N/A

Start Date: October 2016

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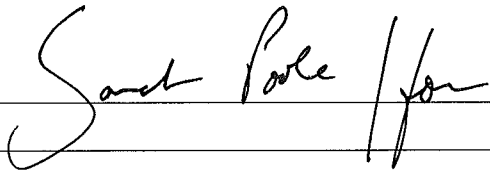
PAC Meeting date: 2 September, 2016

Brief Description
<p>The Global Project will provide policy and programming support to developing countries characterized by dimensions of fragility, particularly those emerging from violent conflict, to help (re)build core government functions (CGFs)—civil service, center of government, public financial management, local governance and aid coordination—which are able to meet people’s aspirations for equitable and inclusive development. The project will promote a rights-based and fragility-sensitive approach to strengthening the responsiveness of institutions and ensuring local ownership over national recovery and development priorities. The project will support assessments of CGFs based on the joint UN/WB diagnostic framework, provide implementation assistance to progressively address institutional capacity in a wide spectrum of states impacted by dimensions of fragility, including violent conflict, develop policy guidance and technical tools based on lessons from practice and research, improve engagement and collaboration among UN development system and other partners, and facilitate South-South exchanges and global knowledge in strengthening CGFs in conflict-affected states and fragile situations.</p>

<p>Contributing Outcome (UNDAF/CPD, RPD or GPD):</p> <p>Strategic Plan/Global Programme Outcome(s): <u>Outcome 3:</u> Countries have strengthened institutions to progressively deliver universal access to basic services.</p> <p>Strategic Plan / Global Programme Output(s): <u>Output 3.1:</u> Core functions of government enabled to ensure national ownership of recovery and development processes.</p> <p>Indicative Output(s): <u>Output 1:</u> UNDP Global Policy Framework on CGF Support in Fragile and Conflict-affected Situations Developed and Applied <u>Output 2:</u> United Nations-World Bank Joint Diagnostic Assessment Tool for Joint Support to CGF in the Immediate Aftermath of Conflict Strengthened and Applied <u>Output 3:</u> Strengthened Respect for Rule of Law principles in public institutions <u>Output 4:</u> Cutting-edge Knowledge and Lessons Learned from Practice on CGF Support in Fragile Situations Developed and Shared</p>
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Total resources required:	USD 30 Million	
Total resources allocated:	TBD	
	UNDP TRAC:	
	Switzerland:	1.5M SF for 2016-2018
	Donor:	TBD
	Government:	
	In-Kind:	TBD
Unfunded:	Approx. USD 28.5 Million	

Agreed by (signature):

UNDP
<p>Print Name: Magdy Martínez-Solimán, Assistant Administrator and Director, Bureau for Policy and Programme Support</p> <p><i>Oct 4 2016</i> </p> <p>Date:</p>

I. DEVELOPMENT CHALLENGE

For decades, the United Nations has been at the centre of international efforts to address fragility in all its myriad dimensions and build peaceful, inclusive and resilient states. From the verification of peace agreements in Southern Africa, Central America and Cambodia in the 1990s, to subsequent efforts to consolidate peace and strengthen state capacity in the Balkans, East Timor, and West Africa, to contemporary operations in Afghanistan, Haiti, Iraq, Libya and South Sudan, peace keeping and special political missions have increasingly incorporated larger components of governance, including public administration, local governance and financial accountability. Beside security forces, peacekeeping missions now increasingly include administrators and economists, legal experts, electoral observers, human rights monitors and specialists in governance and public administration, humanitarian workers and experts in communications and public information. At the same time, several UN agencies are directly or indirectly involved in various components of public administration in fragile and conflict-affected environments. Indeed, it is now widely recognized that the quality of core governance institutions plays a central role in shaping a state's pathway out of fragility and conflict towards sustainable peace and resilience. This recognition of the critical importance of core governance institutions is reflected in the 2011 New Deal Peacebuilding and Statebuilding Goals (PSG) and Sustainable Development Goal 16's specific focus on building peaceful, just and strong institutions.

The UN system's focus and capacity for addressing the institutional governance-related dimensions of fragility in the aftermath of conflict have proven historically to be insufficient (Restore or Reform, 2014). Since its inception, the UN, along with the World Bank and many donors, has promoted a 'best practice', technical, and merit-based model of public administration with too strong a push for supply-side systemic reforms focused on service delivery bottlenecks. However, two decades or more of work on the supply side of state institutions through various programmes on public sector management or public financial management to build the institutional resiliency of states affected by various dimensions of fragility and armed conflict have in most cases not delivered the developmental results required. *In addition, coordination between UN agencies, the World Bank, and donors in the field is in fact often late, ad hoc and inadequate (Restore or Reform, 2014).*¹

Part of the challenge is that supply-driven public sector governance reforms do not adequately address the interlinkages between dimensions of fragility often found in developing countries that are exacerbated in conflict-affected environments. Indeed, in the immediate aftermath of violent conflict or during crises such as devastating natural disasters, core functions of government are typically not even classified under humanitarian funding; and there are too few specialists available to support post-crisis recovery efforts to restore or build key governance institutions. There is insufficient collaboration between missions and agencies, in particular with regard to political analysis of how dimensions of fragility exacerbated by violent conflict impact public administration reform and the likely consequent impact on UN peace and statebuilding objectives.

Violent conflicts often shatter the capacity of core governmental institutions to respond and ensure rapid recovery. Weak or inadequate government structures, aid management, coordination, service delivery or inability to restore and pay the civil service can undermine humanitarian, relief and recovery efforts. Crisis affected populations look at governmental institutions as critical service providers in recovering from protracted armed conflict. As a result, when people's needs are not met by governmental institutions the social contract between a government and its people may be undermined, particularly in contexts of fragility where violent conflict may relapse and peacebuilding may be compromised². Hence, it is

¹ UNDP, 2014. 'Restore or Reform: UN Support to Core Government Functions in the Aftermath of Conflict', New York (Hereafter referred to as Restore or Reform, 2014).

² A breakdown in the social contract between the State and society can also result from the spread of violent extremism. UNDP Africa addresses the impacts of violent extremism in "[The Preventing and Responding to Violent](#)

imperative that international actors, the State and civil society, work together at national and local level to build - or rebuild – core government functions early to restore the social contract and make recovery sustainable in conflict-affected countries.

Countries affected by dimensions of fragility and emerging out of conflict will likely be where it is most difficult to implement the 2030 Agenda, specifically Goal 16 that focuses on building effective, accountable and transparent institutions. But this is also where it will be crucially important. It is in these countries impacted by various dimensions of fragility that citizens are most deprived of basic public services and where poverty is most acute. The SDGs recognize this challenge and indeed the importance of inclusive and responsive core governance institutions as part of governance-informed sustainable development. Societies' aspirations for greater access and quality of public services can be best achieved when core government functions (such as security and justice, public financial management, civil service and government employment, local governance, aid management) are effective, responsive and accountable to the people. Despite core functions of government being recognised as essential for development and statehood, appreciation of their critical role has waned from international development practice and little has been published on public administration in fragile environments (Restore or Reform, 2014). The 2030 Agenda seems to be placing itself as a good conduit to reverse this trend.

The political economy dynamics, including the evolving political settlement³ of a fragile situation matter. Overall, in post-conflict and/or post-crisis countries where popular expectations are high and there are high levels of unresolved conflict between political leaders, an approach which looks primarily to provide long-term supply side reform under the chapeau of statebuilding by itself is simply inadequate if undertaken in isolation to an understanding of the political economy dynamics of that fragile situation (including the political settlement between key elites on how to distribute and share power and rents). As it is, capacity in these contexts is often low due to neglect, destruction, or migration, as is trust in government by both citizens and new political leaders. In these areas, the immediate needs are to signal positive change and use core government functions to provide evidence of this positive change in the form of tangible, inclusive and responsive delivery of necessary public services and build citizen trust in government.

In fragile and conflict-affected environments, it is indeed all too common to hear of carefully conceived development programmes or newly established state institutions that are designed to reflect state-of-the-art best practice, built with world class technical assistance and ample funding, being undermined by powerful actors with competing agendas. According to Parks and Cole (2010), *“the process of development is fundamentally shaped by powerful political, economic, and security actors in aid-recipient countries. These actors use their influence to proactively shape and control formal governance institutions, policies, and the distribution of development assistance to advance their interests”*. In such challenging

[Extremism in Africa: A Development Approach](#) (2016-2019) initiative”, which is a result of expert consultations with partners including the African Union, the Intergovernmental Authority on Development (IGAD), the Economic Community of West African States (ECOWAS), faith groups, civil society organisations, funding partners and other United Nations entities.

³ *“The term “political settlement” as it is used in recent development literature emphasizes the importance of powerful actors and informal institutions. Political settlements, especially in conflict-affected and fragile environments where power relations are often fluid and dynamic, should be understood as **rolling agreements among powerful actors that are constantly subject to renegotiation and contestation**...The political settlements that we observe today have evolved over time, sometimes as the product of many years of struggle, often violent, between contending elite groups. The evolution of political settlements in developing countries often resembles a game of musical chairs, as constantly shifting elite factions come in and out of power over time... In unstable or fragile regions, new political settlements may emerge every few years, as dominant elites seek to consolidate power by any means necessary, often leading to a winner-take-all political environment. As societies evolve, political elites are more likely to follow certain patterns of political competition and cooperation, leading to the establishment of more robust and durable political settlements”* Parks and Cole (2010). “Political Settlements: Implications for International Development Policy and Practice”. The Asia Foundation.

circumstances, the UN system must also regularly grapple with the normative imperative to do no harm by refraining from either empowering or underpinning elites without calling for greater accountability and inclusion as it works to restore the basic functionality of core government institutions often populated by these same actors.

Fragility is an issue of universal character that can affect all countries, not only those traditionally considered fragile and/or conflict-affected. Over the past years, there has been increasing recognition that fragility is not an ‘either/or’ phenomenon; indeed it has many dimensions⁴ and facets, and is a matter of degree and dynamic (OECD, 2015). In 2015, the OECD identified fifty most vulnerable countries and economies as characterized by a state of fragility that have been affected by protracted violent conflict, but also several other middle-income countries with disproportionately high levels of crime-related violence, sub-national conflict, violent extremism, weak institutional capacity, endemic corruption, exclusionary political settlements, poor access to justice as well as those severely impacted by natural disasters. These dimensions can affect low-income, developing and richer middle-income countries alike. These countries put together are home to 43% of people living on less than USD 1.25 a day. By 2030, poverty is likely to be even more concentrated in these environments. Indeed, even under the best-case scenario, 62% of the global poor are expected to be located in states impacted by dimensions of fragility (OECD, 2015).⁵ Supporting the strengthening of core government functions in such contexts is essential to building state resilience as a conflict prevention mechanism to avoid the exacerbation of institutional fragility and ignition of violence.

Supporting more resilient, accountable and inclusive institutions in fragile and conflict-affected environments requires not just more rapid and effective technical solutions, but also an understanding among practitioners that the technical is often indeed political. Overall, but especially in countries dealing with the aftermath of violent conflict and crisis as well as during transitions, governments’ immediate priorities focus on regaining control of security and the post-conflict recovery process, including re-establishing core government functions and, in the best cases, supporting inclusive and fair political and developmental processes. For new or recovering governments to assume ownership and control of the peace and state-building process and to be able to design and implement policies across a broad spectrum of areas, they need core government functions restored as soon as possible. Providing fast, flexible and appropriate support to restoring the basic functionality of government in such challenging contexts requires the UN Development Group, including UNDP as well as political and peacekeeping missions, to support the restoration of core government functions as both a political as well as technical process.

The UN’s approach to the challenge of balancing the politics of development support to sustaining peace has evolved over time. The 2009 Report of the Secretary-General on peace building in the immediate aftermath of conflict (A/63/881-S/2009/304) identified “support to restoring core government functions, in particular basic public administration and public finance, at the national and subnational levels” as one of the five “recurring areas where international assistance is frequently requested as a priority in the immediate aftermath of conflict”.⁶ In March 2013, the Secretary General’s Policy Committee called upon the United Nations, World Bank and International Monetary Fund to develop an approach and methodology for the “rapid needs assessment of Core Government Functions (possibly within the Post-Conflict Needs Assessment) in order to improve the provision of fast, flexible and appropriate support to

⁴ The OECD ‘States of Fragility’ Report proposes a working model for analyzing all countries’ risks and vulnerability across five clusters of fragility indicators, including 1) violence; 2) access to justice for all; 3) effective, accountable and inclusive institutions; 4) economic inclusion and stability; and 5) capacities to prevent and adapt to social, economic environmental shocks and disasters. What this Global CGF Project focuses on, in addition to these key dimensions of fragility, is balancing support to CGF while understanding the impact of shifting political settlements and elite bargains on key governance institutions.

⁵ OECD, 2015. ‘States of Fragility 2015: Meeting Post-2015 Ambitions’, Paris.

⁶ United Nations, 2009. ‘Report of the Secretary-General on peacebuilding in the immediate aftermath of conflict (A/63/881-S/2009/304), 11 June 2009, New York.

restoring the basic functionality of core systems in the immediate aftermath of conflict.”⁷ This decision followed in part from the Secretary-General’s 2009 Report on Peacebuilding in the Immediate Aftermath of Conflict⁸, but also from the 2011 independent report of the Senior Advisory Group on Civilian Capacity in the Aftermath of Conflict (“CivCap Review”)⁹ and a review of the UN system’s country experiences in post-conflict public administration and capacity development, the Lessons Learned Review on UN Support to Core Government Functions (UNDP, 2014).¹⁰ The 2015 Report of the Advisory Group of Experts on the Review of the Peacebuilding Architecture importantly emphasized that “while capacity building, state building, institution building and development all demand considerable technical expertise, first and foremost peacebuilding must be understood as an inherently political process.”¹¹ This was further buttressed by the UN Secretary-General endorsement of the 2015 *Report of the High-level Independent Panel on Peace Operations on uniting our strengths for peace: politics, partnership and people* (A/70/95-S/2015/446) that puts a strong and central emphasis on the “primacy of politics” and the need for “political solutions” beyond just technical or military approaches to restoring peace in the aftermath of conflict.¹²

Translating an integrated, fragility-sensitive approach to strengthening inclusive and responsive public institutions, as a basis to forge a resilient transition out of the immediate aftermath of conflict and towards sustained peace, also entails a human rights-based approach to core government functions.

Public institutions play a major role as a centrepiece of evolving political settlements where access to power and rents are negotiated between the dominant political and economic elites, and as the main interface between the state and the people at national and local levels. Public institutions have obligations not only to deliver services, but to do so while upholding fundamental human rights-based principles based on international standards that ensure that people have equal access to both decision-making processes and services. Governments, aid agencies, and others development practitioners therefore need to better understand the wide scope and nature of challenges and bottlenecks that confront public administration as an inherently political arena that entail competition for resources, and the effects these have on vulnerable communities. People, in particular those suffering from exclusion and discrimination, also need better information about what they are entitled to obtain from the public institutions that serve them. This is particularly the case in fragile, crisis and post-crisis environments where public administration institutions are often the only authority in place, with a key role as a facilitator in a range of national and international reconciliation initiatives. In many of these crisis situations, the public administration fails to perform this task effectively and/or transparently and often perpetuates discrimination and exclusion. Respect for basic principles of human rights and rule of law can help a public agency improve its performance benchmarks, making it more responsive to the needs of people and communities and ultimately reducing the risk of citizen grievances finding ultimate expression through a (re)surgence of violence.

Low levels of respect for the principles of the rule of law and weak state credibility in the interface between the public service and population can seriously impede administrative agencies’ ability to effectively implement development strategies and programmes that are cornerstones of the political settlement. This risk is present in all development settings, but is aggravated in the aftermath of crisis. Unrest or even conflict often erupts because of ruptures in the social contract caused by perceptions of

⁷ Decision No. 2013/8 of 19 March 2013 (Update on UN Assistance in Public Administration in Post-conflict Situations).

⁸ United Nations, 2009. ‘Report of the Secretary-General on peacebuilding in the immediate aftermath of conflict (A/63/881-S/2009/304), 11 June 2009, New York. Hereafter referred to as the SG Report, 2009

⁹ United Nations, 2011. ‘Civilian Capacities in the Aftermath of Conflict, Report of the Secretary-General (A/66/311-S/2011/527), 19 August 2011, New York. Hereafter referred to as the CivCap Review.

¹⁰ Restore or Reform, 2014.

¹¹ United Nations, 2015. ‘The Challenge of Sustaining Peace: Report of the Advisory Group of Experts on the Review of the Peacebuilding Architecture’, UN Doc. A/69/968– S/2015/490, 30 June 2015, New York. Hereafter referred to as the 2015 AGE report.

¹² United Nations, 2015. ‘Report of the High-level Independent Panel on Peace Operations on uniting our strengths for peace: politics, partnership and people (A/70/95-S/2015/446), 17 June 2015, New York. (Hereafter referred to as the HIPPO Report.

corruption, unfairness and discrimination in the way services and utilities are distributed and delivered, often further exacerbated in an environment of existing public mistrust towards the state. Women, youth (girls and boys) and members of disadvantaged or vulnerable groups, such as indigenous peoples, minorities and people with disabilities, tend to be particularly disadvantaged and affected by lack of respect for basic rule of law, justice and security in the interface between government institutions and societies.

II. STRATEGY

In order to foster the strengthening of core government functions centered on fragility-sensitive approach that helps crisis-affected states progress more effectively along the pathway towards sustainable development, UNDP has designed the “Global Project on Supporting Core Government Functions to Address Fragility and Build Resilience” (henceforth referred to as the Global CGF Project). At the heart of the Global CGF Project approach is the need for rapid CGF assistance with the objective of building institutional state capacity to deliver necessary services and ensure national and local ownership of post-conflict/crisis recovery and development processes. An interdependent objective is to also help engender responsive, accountable, transparent and inclusive institutions that inspire public confidence in state, where there is a strong match between people’s expectations of what the state (and other actors) will deliver and the institutional capacity available within the state (and other actors) to meet those expectations. This must be undertaken with the ultimate objective of contributing towards a robust social compact and enabling an environment conducive to fostering long-term nation-building, which in turn translates into peaceful and resilient societies.

What is cutting edge about this project is that it will proactively address the disjoint between varying political contexts and their impact on technical development solutions to help countries experiencing fragility rebuild or establish core government functions that are not negatively impacted by politics or competition for resources that can endanger progress in the aftermath of conflict/crisis but instead achieves sustainable resilience based on best fit practices that address individual country needs and priorities. This includes *better identifying*, prioritizing, and sequencing rapid CGF assessments to understand the underlying political settlement, critical emerging CGF issues, fragility triggers, challenges, and entry points for dialogue with the government; and policy implementation guidance that integrates CGF support in line with locally-driven priorities and possibilities, aiming to bridge the gap between what is technically possible, normatively desirable, and politically feasible within the context of the political settlement (distribution of rents and power) and lessons learned from development practice in fragile situations. By championing the Global CGF Project, international actors can help ensure that the various dimensions of fragility and their impact on core public administration functions are fully addressed in a more integrated and proactive – *rather than reactive* – manner to ensure public participation and accountability for sustainable peace and development in support of the 2030 Agenda in countries most impacted by protracted fragility.

The strategy of the Global CGF Project is grounded in the UNDP Strategic Plan (SP) 2014–17,¹³ which calls for a more holistic and integrated approach to strengthening institutions to help states exit fragility and progress towards inclusive and sustainable development and build resilience. Outcome 3 of the SP aims to help ensure that “*countries have strengthened institutions to progressively deliver universal access to basic services.*” SP Output 3.1 specifically seeks to “[enable] *core functions of government (in post conflict situations) to ensure national ownership of recovery and development processes.*” The Global CGF Project also moves forward UNDP’s renewed commitment to rapid crisis response in the immediate aftermath of

¹³ UNDP Strategic Plan (2014 – 2017), in particular Outcome 3, ‘Countries have strengthened institutions to progressively deliver universal access to basic services’, http://www.undp.org/content/dam/undp/library/corporate/UNDP_strategic-plan_14-17_v9_web.pdf.

conflict through a whole-of-UNDP approach as demonstrated in UNDP's Crisis Response Strategy. The Global Project covers all the phases of a country's transition along the fragility continuum, from coping with ongoing violent conflict to recovering and restoring CGFs in the immediate aftermath of conflict to strengthening and/or reforming CGF institutions as part of medium- to long-term efforts of building institutional resilience (see figure 1). The Global Project is closely linked to UNDP's Crisis Response Package (CRP) 3: Restoration of Core Government Functions (*including Local Governance; Aid Management; and Restoration of the Civil Service*) that focuses on restoring the basic functionality of government in the aforementioned three CGF areas in the immediate aftermath of conflict, as approved by the Executive Board in April 2015. Moreover, while the Global CGF project design includes support to immediate crisis recovery through the CGF CRP as per the UNDP Crisis Recovery Strategy, it is not limited to CRP 3 alone. The guidance notes on local governance, aid management, and civil service reform in conflict-affected settings that constitute the CGF CRP will indeed include a broader-term, holistic approach inclusive of, *but not limited to*, the immediate aftermath of conflict, to include the reform (as needed) and indeed strengthening of CGFs to help conflict-affected countries transition from situations of fragility in the post-conflict period to long-term resilience in a sustainable manner.¹⁴

UNDP has comprehensive experience in providing transformational thought leadership and high-quality technical expertise across the globe in *supporting* policy and programme implementation in key areas of strengthening core governance institutions in fragile situations, including those affected by violent conflict. UNDP has recently integrated policy and programming support for this important nexus of ensuring good governance and building resilience in states impacted by dimensions of fragility with the creation of a Responsive and Accountable Institutions (RAI) team within the Governance and Peacebuilding Cluster of UNDP's Bureau for Policy and Programme Support (BPPS)¹⁵. The RAI team aims to deliver a comprehensive and high-quality package of CGF support to UNDP Regional Service Centres (RSC) and to UNDP Country Offices (both, directly and through the RSCs) and to identify and leverage synergies and partnerships on core government functions with partners innovating and working in this area of focus.

The Global CGF Project reflects the SP priorities and indeed the targets of the 2030 Agenda, specifically SDG 16, that link the UNDP CGF fragility-sensitive approach with global efforts to ensure good governance and support to inclusive peacebuilding. It aims to help countries impacted by dimensions of fragility and conflict achieve SDG 16 targets that reflect the interlinkages between institutional fragility, risk of violent conflict and the need for responsive, accountable and effective institutions, namely: 16.1 '*Significantly reduce all forms of violence and related death rates everywhere*'; 16.3 '*Promote the rule of law at the national and international levels and ensure equal access to justice for all*'; 16.5 '*Substantially reduce corruption and bribery in all their forms*'; 16.6 '*Develop effective, accountable and transparent institutions at all levels*'; 16.7 '*Ensure responsive, inclusive, participatory and representative decision-making at all levels*'; 16.8 '*Broaden and strengthen the participation of developing countries in the*

¹⁴ As approved by the Executive Board in April 2015, UNDP plans to roll out a series of 'Crisis Response Packages' (CRP) that will integrate key components including substantive expertise (technical assistance, how-to guidance, stand-by partners, expert rosters etc), fast-track operational mechanisms, advocacy products, funding options, capacity development to allow for faster, more effective and more predictable interventions in UNDP areas of comparative advantage. The CRPs will enable UNDP country offices to design sound early recovery projects and implement them in a timely manner in post-disaster and post-conflict contexts, drawing on the full comparative strength of the different layers of the organization as well as several stand-by partners. While often operating in a humanitarian context, the aspiration of the crisis response packages is to provide, as early as possible, a clear entry point to recovery and rapid return to sustainable development pathways. The Packages will include specific processes, tools and capacities that can be activated in crisis scenarios to speed up project development and implementation, including procurement and other administrative procedures. The packages also offer access to the deployment of stand-by partners and experts at country or regional level. Resource mobilization, funding for immediate crisis response, advocacy and communication are also critical components offering an UNDP-wide support to country offices and their national counterparts.

¹⁵ UNDP, Building Inclusive Societies and Sustaining Peace through Democratic Governance and Conflict Prevention: UNDP's Integrated Approach, September 2015.

institutions of global governance’; 16.10 ‘Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements’; 16.a ‘Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime’; 16.b ‘Promote and enforce non-discriminatory laws and policies for sustainable development’.

4 Interdependent and Interlinked CGF Outputs:

To implement the outlined strategy in an effective and coherent manner, the Global CGF project proposes four interdependent and mutually reinforcing policy-based outputs at the country, regional, and global levels. Through this multi-level approach, the Global Project aims to strengthen core government functions in fragile contexts and help build state resilience:

- 1. UNDP Global Policy Framework on CGF Support in Fragile and Conflict-affected Situations Strengthened and Applied;**
- 2. United Nations-World Bank Joint Diagnostic Assessment Tool for Joint Support to CGF in the Immediate Aftermath of Conflict Strengthened and Applied;**
- 3. Strengthened Respect for Rule of Law Principles in Public Institutions; and**
- 4. Cutting-edge Knowledge and Lessons Learned from Practice on CGF Support in Fragile Situations Developed and Shared**

The Global CGF Project offers an integrated global framework on restoring the basic functionality of government that moves beyond a single categorisation of fragile states toward a more adaptive understanding of fragility that captures diverse political economy aspects of risk and vulnerability. Such an approach to assessing and responding to fragility has multiple benefits: 1) It can help to identify critical emerging priorities by highlighting specific CGF fragility risks and reversals of development gains that increase the state’s vulnerability to a breakdown in political settlements and a resulting outbreak of violent conflict; 2) it can inform international priorities for jointly reducing institutional drivers of fragility; and 3) it can help focus international efforts on making progress in the poorest and most fragile situations impacted by violent conflict and/or other unexpected crises that exacerbate state fragility.

The Global CGF Project responds to the understanding that most low- and middle-income developing countries move back and forth along a continuum of dimensions of fragility and resilience over time. Some countries are in crisis, struggle with violent conflict, social disruption or face urgent and critical threats to human well-being. For instance, in some low-income countries conflict has destroyed or significantly degraded governance structures, institutions and infrastructure, crippled economic growth and warring parties contest political control using violence. That said, not all countries impacted by dimensions of fragility are currently in crisis. Many have emerged from periods of sustained violence and instability and are at different stages of the fragility continuum (see figure 2), gradually making their way along the long process of building more responsive, accountable and effective institutions while managing the legacy of violent conflict, deeply entrenched and exclusionary political settlements that favour a few over the many, and extreme poverty. In addition, the sub-national dimension of fragility is particularly relevant in lower middle-income countries where there may be relatively stronger institutions, with relatively cohesive communities co-existing with pockets of fragility that reflect endemic center-periphery tensions, rise of violent extremism, and growing horizontal inequalities. This however does not ignore the fact that countries with high concentrations of or transitioning from protracted periods of violence must be given special attention.

In addition, the Global CGF Project is responsive to unexpected crises that can exacerbate fragility and/or tip over heretofore relatively stable post-conflict countries into a renewed state of fragility. Changes in global climate are likely to make many weather-related crises more common. Crises and shocks can exacerbate instability in countries already marked by fragility. Natural disasters and extreme weather events also have long-lasting impacts on countries impacted by dimensions of fragility, especially those with weak institutions. Most recently, the Ebola outbreak demonstrated the acute vulnerability of states

impacted by dimensions of fragility to shocks, and underlined the importance of steady investment in basic public administration systems, among other key core government functions. The scale of this challenge remains significant.

The Global CGF Project is based on a core assumption that fragility and resilience are both dynamic and non-linear and that support to CGF merits a sustainability lens with long-term institutional commitment.

Poverty projections often assume that a) the same countries will continue to be fragile, b) those who move towards resilience will not reverse developmental gains made, and c) no new countries will fall into conflict or face weakening institutions. The Global CGF Project recognizes that fragility and resilience are neither fixed nor immutable, but rather should be seen as shifting points along a continuum that move back and forth depending on context (that include internal and external stresses as defined by WDR 2011).¹⁶ Fragility and resilience are the consequences of political, economic and social dynamics that range from the structural, historical, regional and global, to very short-term events. These conditions – whether the product of particular core government policies and practices over the course of a few years, for example, or arising from more entrenched and systemic patterns of exclusionary political settlements and elite bargains – can be altered, for better or worse. Indeed, some countries will stabilise and reform while others will become even more fragile, with potentially devastating impacts on poverty and human development and increased risk of a breakdown of unstable political settlements into violent conflict. Many conflict-affected countries emerging from protracted violence may still plunge back into crisis if devastated by natural disasters. Support to strengthening core government functions needs to be cognizant of and tailored to the political economy dynamics of shifting crisis contexts. The Global CGF Project is designed to be adaptive to all fragile contexts and is based on the 2015 AGE report's emphasis that *"sustaining peace should be understood as encompassing not only efforts to prevent relapse into conflict, but also to prevent lapse into conflict in the first place."*¹⁷

The Global CGF Project recognizes the long term nature of strengthening the basic functionality of government and is based on an incremental and sequenced approach to building resilient platforms for sustainable institutional capacity.

Consolidating institutional capacities and governance frameworks for the above fragile and transition processes takes time and thus necessitates long-term vision and sustained political commitment. As illustrated by the 2011 World Development Report "creating the legitimate institutions that can prevent repeated violence is, in plain language, slow. It takes a generation. Even the fastest transforming countries have taken between 15 and 30 years to raise their institutional performance from that of a fragile state to that of a functioning institutionalized state." (World Bank, WDR 2011).¹⁸ This concept is buttressed in the 2015 AGE report on sustaining peace that reaffirms that progress towards creating legitimate institutions that can help prevent relapse takes a generation and indeed, is neither linear nor mono-directional.¹⁹

While acknowledging the contextual diversity of fragile environments, the Global CGF Project orients itself to address two primary features that most, if not all, fragile situations have in common: exclusionary political settlements and weak core governance institutions that struggle to be responsive, accountable and inclusive.

These institutions may be unable to meet the aspirations of their citizens for equitable and inclusive development, and also face heightened risk of experiencing crisis. Historical, political and social factors, often including a weak social contract and a lack of capacity to respond to shocks and stresses, can mean that the chances of a future political, social or humanitarian failure are high (OECD, 2008). The UN Lessons Learned Review highlights that public administration is not just a mechanism for delivering services, but a key arena for negotiating and forming inclusive governments that must be based on an enhanced understanding of the political settlements and elite bargains (i.e. control

¹⁶ World Bank, 2011. *World Development Report 2011: Conflict, Security, and Development*, World Bank, Washington, DC. Hereafter referred to as WDR 2011.

¹⁷ 2015 AGE report

¹⁸ WDR 2011.

¹⁹ 2015 AGE report

over power and violence) underpinning these processes in the aftermath of conflict. It notes “*the centrality of the political settlement to peace and state-building, notably inclusion and national ownership*” (Restore or Reform). UN agency and peace operations’ support to re-establishing core government functions in such contexts should aim to mitigate the tension between volatile political settlements and political processes and core administrative processes necessary to restoring state authority and legitimacy, especially in terms of ensuring national ownership and inclusion in the post-conflict recovery process. UN agencies, peace operations, and their development partners need to agree on an approach and protocol for the rigorous assessment of core government functions, providing a better understanding of what is driving inclusive political settlements and help governments respond more effectively and efficiently, taking into consideration realistic revenues so as to ensure that the institutions are sustainable in the long run rather than beholden to donor support or any form of external subsidizing that can put into question the sovereignty of a nation. The management of these functions after conflict and/or periods of crisis is crucial in restoring peaceful and inclusive societies in fragile and conflict-affected settings.

The Global CGF Project aims to bridge the political-technical divide in responding effectively to situations of institutional fragility. Support to core government institutions in such environments often must deal iteratively with severe political, economic, and development challenges including, but not limited to, lack of basic security, limited or devastated public administrative capacity, stagnant/weakened economy, chronic humanitarian crises diverting (or perpetuating?) donor attention and funding, persistent social tensions, ongoing violence or the legacy of protected civil war and mistrust towards government that is either unwilling or unable to deliver much needed services. Considering the wide range of fragile situations outlined above, the vital importance of Goal 16 for the entire Agenda 2030 cannot be overstated. Yet, without enhanced support and capacity to implement Goal 16 that includes the collection of data to measure indicators, current institutional constraints will plainly limit member states’ ambitions to deliver on the rest of the Agenda as well as on the targets of Goal 16.

Finally, the Global CGF Project has a tailored response to those countries impacted by fragility that are not conflict- or crisis-affected, but are still struggling with weak systems of governance that exacerbate different dimensions of fragility (see figure 2). For this group of countries the project is designed to assess, and ultimately strengthen, the responsiveness of public institutions to the needs of society from a *rights-based perspective* centered on the expectations and perceptions of citizens. The emphasis is on both the supply and “demand-side” of public administration, and pays attention to the services that individuals themselves consider essential, and the aspects they consider problematic. Through an assessment toolkit developed jointly by UNDP and the Folke Bernadotte Academy on how to *Assess Respect for Rule of Law Principles in Public Administration (ROLPA)*, the project will support government institutions in detecting and understanding the gap between the *de jure* offer of services (what people are supposed to get and under what modalities) and the *de facto* delivery of services (what they get in reality and how these services are delivered, i.e. the governance of service delivery).

The Global CGF Project will identify entry points to more effectively enhance respect for basic principles of the rule of law in administrative agencies and processes. The ROLPA toolkit²⁰ assesses the principles and values that underpin the workings of public institutions and their interface with society, including marginalised groups, according to six commonly accepted principles derived from international and human rights law – *legality, accessibility, right to be heard, right to appeal, transparency and accountability*. The

²⁰ The ROLPA toolkit consists of three modules: *formal mapping, agency survey* and *user survey*. The *formal mapping* describes the laws, structures and processes that govern the administration, a specific agency or a particular administrative function. The *agency survey* describes the administration’s own perceptions of rule of law problems, whether structural, institutional or capacity-related. The *user survey* symmetrically contrasts the formal reality with the perceptions of the service users of the system – that is, citizens or “ordinary people”. The *agency survey* and *user survey* are conducted by means of structured questionnaires probing each of the six principles described above. In certain cases, additional rule of law principles may be added as each setting is unique and there may exist a greater shortfall on some principles rather than others.

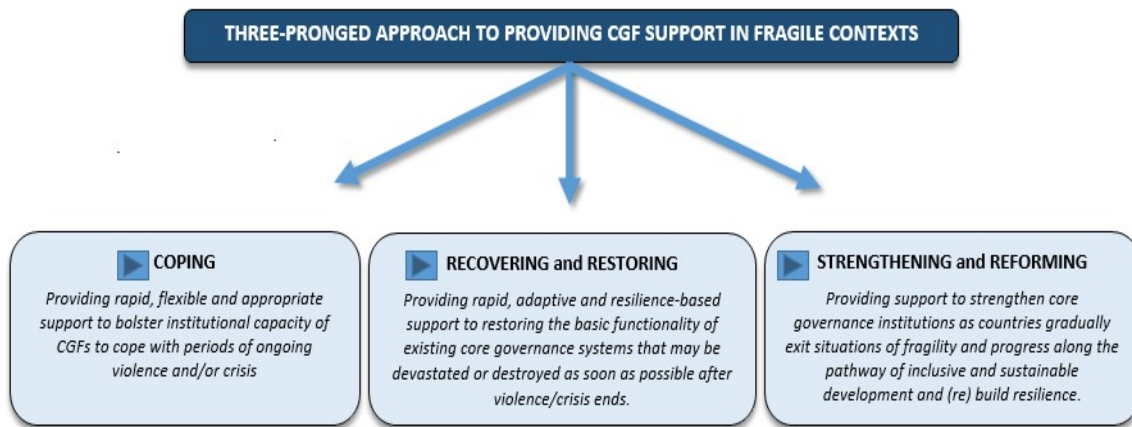
project then supports governments, at country level, in categorising the findings into specific legal, regulatory or procedural reform recommendations, thereby improving both the upstream and the downstream role of the public administration and forging stronger state-society relations. Rather than traditional measures for developing institutional capacity in isolation, the project will focus on measuring and strengthening the *interface* with citizens, guided by continuous assessment of the perception citizens have of the responsiveness of the core government institutions that are designed and mandated to serve society at both national and local level. The ROLPA theory of change considers that this method of operationalising a rights-based approach to development in the government machinery will strengthen the social contract and address the absence, or flaws, of administrative decisions that are a source of disenfranchisement, systemic inequalities, and enduring fragility.

3-Pronged Approach to Providing CGF Support to States Impacted by Dimensions of Fragility and Conflict:

The Global CGF project envisions a three-pronged approach that aims to be responsive, flexible and adaptive to these shifting political economy contexts to help achieve SDG 16 in fragile contexts (see figure 1):

- I. **Coping:** *Providing rapid, flexible and appropriate support to bolster institutional capacity of core government functions (civil service, local governance, aid management, center of government, and public financial management) to cope with periods of ongoing violence and/or crisis. In some contexts, the first task may include rapid action to stop the ‘haemorrhaging of funds’ and engaging third-party support to ensure delivery of services in responding to the conflict/crisis and joint action with the World Bank and IMF to address immediate public financial management (PFM)-related needs and priorities.*
- II. **Recovering and Restoring:** *Providing rapid, adaptive and resilience-based support to restoring the basic functionality of existing core governance systems (with a special focus on civil service, local governance, and PFM) that may be devastated or destroyed during violence conflict and/or periods of crisis as soon as possible after violence/crisis ends. This includes doing better and faster joint assessments of core government functions and early public administration recovery needs with the World Bank and IMF based on the agreed UN/WB diagnostic framework for supporting core government functions in the immediate aftermath of conflict to determine key challenging and emerging critical issues for reform. This is a key entry point to help (re) build or develop responsive, accountable and inclusive core governance institutions that address institutional weaknesses that pre-dated the conflict/crisis and help (re)build citizen trust in government.*
- III. **Strengthening and Reforming:** *Providing support to strengthen core governance institutions (center of government, civil service, PFM, local governance and aid management) as countries gradually exit situations of fragility and progress along the pathway of inclusive and sustainable development and (re) build resilience. During this stage, the strengthening of macro-economic and political national institutions and local capacities for service delivery, according to key principles guiding a rights-based approach between public institutions and their constituents, constitutes an essential step in guaranteeing the durability of development investment and protecting development gains made.*

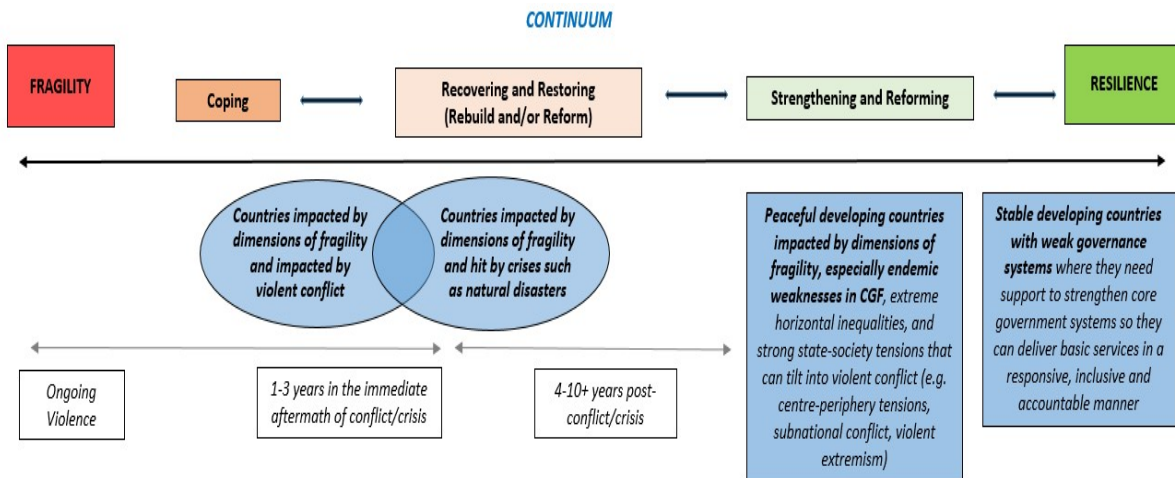
Figure 1: 3-pronged integrated approach to CGF support for states impacted by dimensions of fragility and conflict



States and Situations in the Fragility-Resilience Continuum:

The Global CGF project offers global policy and programming support for low- and middle-income developing countries that are characterized by dimensions of fragility or with vulnerabilities to shocks and stresses that can trigger a breakdown in the political settlement and increase the risk of violence as compared to other relatively resilient states with durable political settlements. It recognizes that some countries may reflect the features of different forms of fragility over time and aims to adapt to any number of changing contexts, including among the most salient observed conditions: conflict affected-countries affected by ongoing or protracted violent conflict; crisis-affected countries affected by natural disasters (in some cases overlapping with conflict-affected situations); stable but fragile developing countries with endemic weaknesses in CGFs, extreme horizontal inequalities, and state-society tensions that can tilt into violent conflict; and developing countries with weak governance systems where needed support points to strengthening core government systems to deliver basic services in a responsive, inclusive, accountable and rights-based approach.

Figure 2: Fragility Continuum informing CGF support for states impacted by dimensions of fragility, including violent conflict



10 Guiding Principles for CGF Support to States Impacted by Dimensions of Fragility and Conflict:

The Global CGF project is guided by the following ten principles of engagement in conflict-affected states and/or situations of fragility:

- 1. First, do no harm:** Balance between short-term recovery imperatives and long-term development gains

2. **Context is everything:** Be adaptive, flexible and responsive to different fragile contexts and the nature of the political settlement (explicit understanding of the distribution of rents and power between key elite factions)
3. **The technical is political:** Understand the political, economic and social causes and effects of fragility on core government systems and identify entry points to help the state move progressively towards (re)building resilience
4. **Enabling, not doing:** Ensure national and local ownership of recovery and reform processes
5. **Drive for inclusion:** Support inclusive political settlements and processes that respond to public expectations and (re) build citizen trust in government
6. **Gender sensitivity:** Be cognizant of the gender dimensions of public administration recovery and reform
7. **Seek sustainable solutions:** Ensure a long-term sustainability lens to safeguard the durability of development investment and protect development gains made
8. **Best fit, not best practice:** Work with the grain to strengthen or reform existing institutions for public administration based on context, needs, and priorities from a country perspective
9. **Rule of law and rights-based principles:** integrate rights-based issues of good governance and good administration in provision of public services
10. **Evidence-based:** Robust and rigorous analysis and assessment of the formal and informal dynamics of core government functions

Global CGF Project Theory of Change

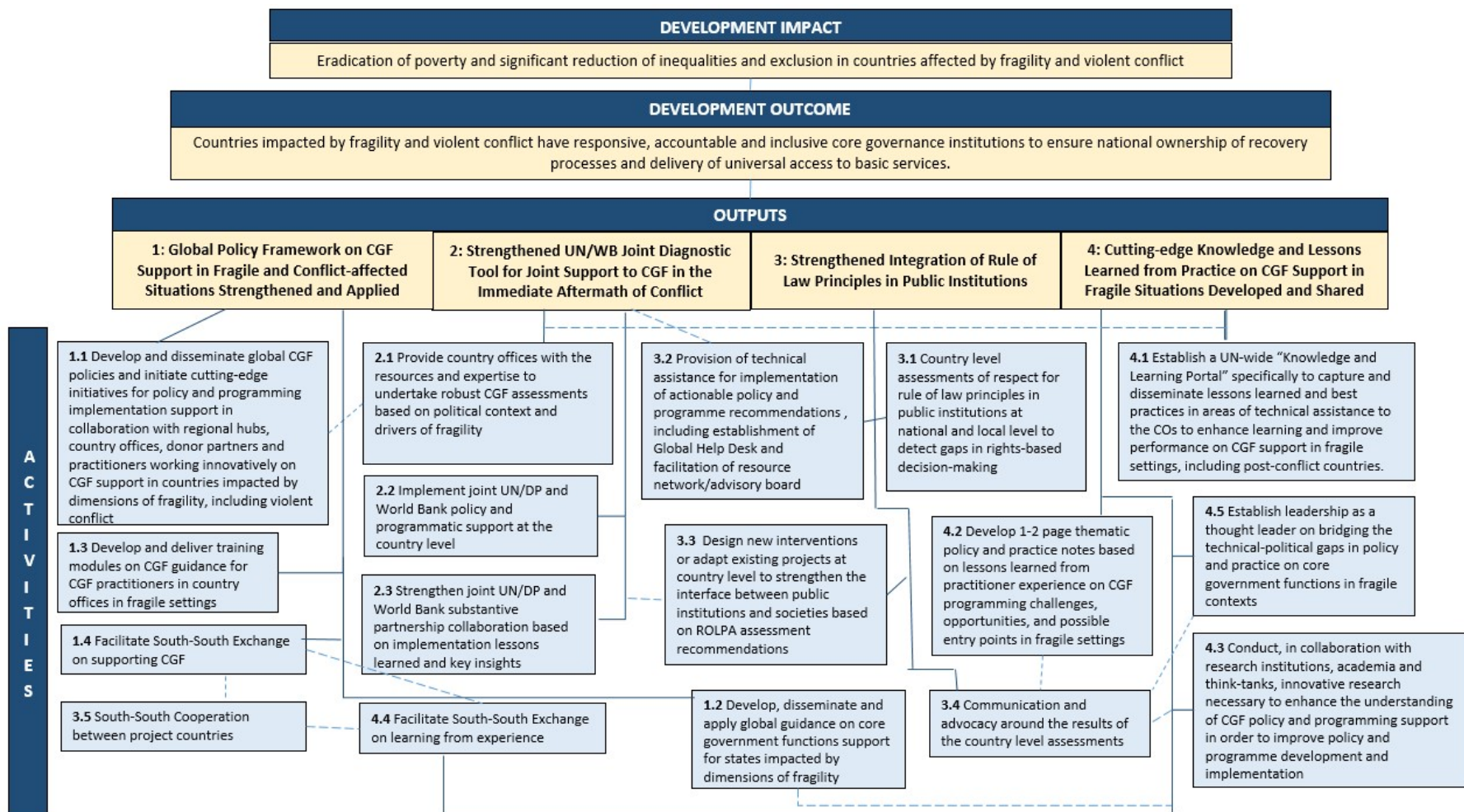
The institutional dimensions of fragility, especially in those countries impacted by armed conflict, are the key obstacles to the sustainable achievement of Agenda 2030 and specifically, Goal 16. Weak or inadequate government structures, aid management, delays in elections, coordination at the center and subnational levels, disrupted or suspended service delivery, or inability to restore and pay the civil service can result in unequal access to the most basic goods and services like food, water, education, and health; in marginalization of minority groups; in public corruption; and extends to gender and other discrimination and unequal access to land and natural resources – all too often further widening the gap between the State and its citizens and exacerbating fragility, particularly in contexts where violent conflict may relapse and peacebuilding may be compromised. Low levels of respect for the principles of the rule of law and weak state credibility in the interface between the State’s core governance institutions and the population in such contexts can also seriously impede the public administrative agencies’ ability to effectively implement development strategies and programmes that are cornerstones of the political settlement.

The Chisinau Outcome Statement on *Strengthening Capacities and Building Effective Institutions for the Implementation of the United Nations Post-2015 Development Agenda* makes it clear: responding successfully to the universal plea of eradicating poverty, reducing inequality, and promoting peace and security **will be largely dependent on the performance of public institutions and on their capacity to engage with other non-state actors and institutions**. Against this backdrop, the *2014 Lessons Learned Review of UN Support to Public Administration in the Immediate Aftermath of Conflict (Restore or Reform)* tells us that much remains to be done when it comes to building well-functioning public institutions that have the capacity to deliver service and extend the authority of the state in fragile environments. Indeed, when it comes to supporting CGF as a key mechanism through which country own the wider process of peace and statebuilding, the UN along with the wider international system, is simply not doing enough to support core public administration functions post-conflict. Moreover, what support is being provided tends to be too little and too late and often unsuitable to the fragile context (Restore or Reform, 2014)

The Global CGF Project aims to address these gaps by 1) **strengthening the joint UN-World Bank CGF partnership on support to CGF strengthening in fragile settings** – at both the strategic policy and technical regional and country support levels – as mandated by the UN Secretary-General; 2) developing a **fragility-**

sensitive and more integrated UN development system-wide global policy framework on support to CGF in fragile contexts, particularly those impacted by violent conflict; 3) **strengthening respect for rule of law principles in public institutions**; and 4) developing and sharing **cutting-edge knowledge products and lessons learned from practice** on improving fragility-sensitive support to strengthening and/or rebuilding the basic functionality of government in fragile environments based on a rights-based approach.

The overall assumption behind the Global CGF Project is that strengthening core governance institutions in fragile contexts will help build national ownership of longer term peace and statebuilding processes subject to democratic oversight. UNDP's objective in this project is to reinforce responsive, accountable and inclusive public sector institutions and systems to operate throughout a given crisis and to strengthen their capacities to respond more effectively to future ones. UNDP will leverage and indeed strengthen its partnership with the World Bank in this regard, especially in post-conflict and fragile environments, given the strategic policy and technical assistance synergies on public administration support and opportunities for improved coordination of support to national governments between both institutions. Indeed, UNDP is uniquely placed within the UN development system to undertake such a global project given its longer term footprint in fragile environments long after a crisis/conflict has ended, as well as greater risk appetite and flexibility to engage in strengthening and/or restoring core government functions in fragile contexts. The combined efforts (1-4) will contribute to **addressing fragility** and sustaining peace by facilitating **enhanced accountability, responsiveness and inclusion of public sector institutions**, improved **effective service delivery**, and will eventually help **strengthen state-society relations** and restore public trust in government (overall impact).



III. RESULTS AND PARTNERSHIPS

Expected Results:

To implement the outlined strategy in an integrated manner, the Global CGF project proposes the following activities under each of the four planned outputs at the country, regional, and global levels. Through this multi-level approach, the Global CGF Project aims to strengthen core government functions and progressively address institutional fragility and build longer-term resilience.

Interdependent and Interlinked Planned Outputs:

1. ***UNDP Global Policy Framework on CGF Support in Fragile and Conflict-affected Situations Developed and Applied***
2. ***United Nations-World Bank Joint Diagnostic Assessment Tool for Joint Support to CGF in the Immediate Aftermath of Conflict Strengthened and Applied***
3. ***Strengthened Respect for Rule of Law principles in public institutions***
4. ***Cutting-edge Knowledge and Lessons Learned from Practice on CGF Support in Fragile Situations Developed and Shared***

Indicative Activities for Each Planned Output:

More detail on the activities to be undertaken under each output is elaborated below:

Output 1: UNDP Global Policy Framework on CGF Support in Fragile and Conflict-affected Situations Strengthened and Applied

- **Activity 1.1** Develop and disseminate global CGF policies and initiate cutting-edge initiatives for policy and programming implementation support in collaboration with regional hubs, country offices, donor partners and practitioners working innovatively on CGF support in countries impacted by dimensions of fragility and conflict
- **Activity 1.2** Develop, disseminate and apply global guidance on core government functions support for states impacted by dimensions of fragility and conflict (including those that are part of CRP 3)
- **Activity 1.3** Develop and deliver training modules on CGF guidance for CGF practitioners in country offices in fragile settings
- **Activity 1.4** Facilitate South-South Exchange on supporting CGF.

Output 2: United Nations-World Bank Joint Diagnostic Assessment Tool for Joint Support to CGF in the Immediate Aftermath of Conflict Strengthened and Applied

- **Activity 2.1** Provide country offices with the resources and expertise to undertake robust CGF assessments based on political context and drivers of fragility
- **Activity 2.2** Implement joint UN/DP and World Bank policy and programmatic support at the country level
- **Activity 2.3** Strengthen joint UN/DP and World Bank substantive partnership collaboration based on implementation lessons learned and key insights.

Output 3: Strengthened Respect for Rule of Law Principles in Public Institutions

- **Activity 3.1** Country level assessments of respect for rule of law principles in public institutions at national and local level to detect gaps in rights-based decision-making
- **Activity 3.2** Provision of technical assistance for implementation of actionable policy and programme recommendations, including establishment of Global Help Desk and facilitation of resource network/advisory board
- **Activity 3.3** Design new interventions or adapt existing projects at country level to strengthen the interface between public institutions and societies based on ROLPA assessment recommendations
- **Activity 3.4** Communication and advocacy around the results of the country level assessments
- **Activity 3.5** South-South Cooperation between project countries.

Output 4: Cutting-edge Knowledge and Lessons Learned from Practice on CGF Support in Fragile Situations Developed and Shared

- **Activity 4.1** Establish a UN-wide “**Knowledge and Learning Portal**” that can serve as a permanent home for knowledge development and learning specifically to capture and disseminate lessons learned and best practices in areas of technical assistance to the COs, to enhancing learning and improving performance on CGF support in fragile settings, including post-conflict countries. It would be launched for the following purposes:
 - As a repository/library of relevant source material/documentation on CGF in fragile settings;
 - As a learning platform in support to orientation/training on CGF in fragile settings; and
 - As the hub for an electronic Community of Practice on CGF in fragile settings.
- **Activity 4.2** Develop 1-2 page thematic policy and practice notes based on lessons learned from practitioner experience on CGF programming challenges, opportunities, and possible entry points in fragile settings
- **Activity 4.3** Conduct, in collaboration with research institutions, academia and think-tanks, innovative **research** necessary to enhance the understanding of CGF policy and programming support in order to improve policy and programme development and implementation
- **Activity 4.4** Facilitate South-South Exchange on learning from experience
- **Activity 4.5** Establish leadership as a thought leader on bridging the technical-political gaps in policy and practice on core government functions in fragile contexts (2016 Global CGF Meeting as kick off for this).

Output 1: UNDP Global Policy Framework on CGF Support in Fragile and Conflict-affected Situations Strengthened and Applied

One of the primary roles of the Global CGF Project is to ensure that the UNDP and national partners have access to the policy expertise, political economy analyses, and technical tools and capacities needed to deliver effective support to CGFs in various types of conflict-affected states and fragile situations depending on country needs and priorities identified and assessed locally. To this end, this project aims to consolidate governance, political economy analysis, Recovery and Peacebuilding Assessments (RPBA)²¹, gender analysis, and conflict expertise to provide on-demand policy advice and programming support upon request. Noting that the demand for CGF support is growing, the Global CGF Project will also develop collaborative partnerships within the UN system and with UN Member States to build a network of vetted and seasoned governance UNDP experts available for deployment in support of governments and Country Offices. This internal capacity will be complemented by dedicated rosters and access to crisis response mechanisms enabling the rapid deployment of technical and operational advisors in the immediate aftermath of conflict and sustained support to ensuring sufficient country level capacities to deliver results.

²¹ As part of the 2008 Joint Declaration on Post-Crisis Assessments and Recovery Planning, the World Bank Group (WBG), the United Nations (UN), and the European Union (EU) have committed to provide joint support to assessing, planning, and mobilizing support for recovery, reconstruction and development in countries affected by crises. This tripartite agreement is executed via the mechanism of joint Recovery and Peacebuilding Assessments (RPBA). The agreement represents the commitment of the three organizations to working together in support of national ownership of the recovery and peacebuilding process and to coordinate the broader international response to crises. The RPBA is a joint approach to assessing and addressing immediate and longer term recovery and peacebuilding priorities in a country in transition from a conflict related crisis. It aims to provide an agreed basis to support joint planning and for resource allocation, maximizing the effectiveness of national and international recovery and peacebuilding efforts. RPBA, building on what is already there, identify immediate and longer term priorities, and how they will bring the desired change about. The CGF diagnostic assessments will leverage existing RPBA findings and related resources to help identify, prioritize and sequence institutional recovery and CGF restoration activities in the immediate aftermath of conflict.

Drawing on good practice and lessons learned, support will be provided to UNDP country offices and missions in three main ways: 1) through provision of **remote and in-country technical and advisory services** to support design of support to Core Government Functions; 2) through the provision and oversight of **catalytic seed funding**; and 3) through **sharing of knowledge resources**, including training, toolkits and the facilitation of South-South exchanges. Together, these three methodologies will be deployed to achieve the results envisaged for this objective.

Output 2: United Nations-World Bank Joint Diagnostic Assessment Tool for Joint Support to CGF in the Immediate Aftermath of Conflict Strengthened and Applied

In the immediate aftermath of conflict, navigating non-linear pathways to peace and stability requires managing trade-offs between the political, technical and normative. The UN (with UNDP as the lead agency) and the World Bank have recently partnered to develop a much needed joint diagnostic tool for assessing core government capacities in the aftermath of crisis, termed as the **UN/WB Diagnostic Framework on Core Government Functions in the Immediate Aftermath of Conflict**. These efforts stand as tangible and significant progress towards the collaborative UN-WB approach, the pooling of resources and the breakdown of silos advocated by the recent UNDP 2014 lessons-learned review. This joint diagnostic framework has an extensive empirical foundation: a mapping of existing assessment tools; a review of major publications; interviews with experienced practitioners; and an analysis of a large number of UN and World Bank projects in post-conflict countries.

The Global CGF Project will leverage this joint diagnostic framework in partnership with the World Bank to generate dynamic, integrated assessments of core government functions in the immediate aftermath of conflict, using an iterative and adaptive approach which seeks first to gather facts about the *de jure* and *de facto* functionality of government systems, to understand the political settlement, and to work closely with stakeholders to identify the implications and priorities for support and dialogue with key government counterparts in various fragile contexts. The Global CGF Project will consolidate governance, political economy analysis, Recovery and Peacebuilding Assessments (RPBA), gender analysis as part of these CGF assessments and will use this diagnostic framework to identify concrete priority actions likely to be strategic for rebuilding each of the five aforementioned core government functions based on individual country needs and contexts. A key premise of this activity is that restoration and/reform of core government functions is a non-linear process which requires striking a balance between what is technically or normatively desirable and politically feasible. Critically, without an understanding of context, external assistance can inadvertently exacerbate societal divisions or create opportunities for corruption and abuse. Country level assessments and action plans will be driven by country demand, and may occur at different moments and through different assistance modalities. For example, an assessment of core functions could take place as part of the formulation of a peacekeeping mandate or assessment of early recovery needs, or may be postponed to a section of a full post-conflict needs assessment. UNDP, in partnership with the WB and UNDP/Regional Hubs, has recently begun implementing this framework in South Sudan and Libya in collaboration with UNDP and WB country offices, with plans to expand this diagnostic framework across all situations and dimensions of the fragility-resilience spectrums (see Figure 1 above). The Global CGF Project will include an assessment of various pilots and incorporate key lessons learned about implementation into the existing framework in consultation with the WB, UNDP Regional Hubs and Country Offices to improve its utility and impact.

Output 3: Strengthened Respect for Rule of Law Principles in Public Institutions

Strengthening respect for rights-based principles in the interface between public institutions and citizens is integral to a resilient State-society relationship, both to effectively and equitably deliver services as well as to ensure citizens have a stake in decision-making and a voice to demand services and accountability as well-informed users of government services. UNDP's assistance, through this output of the global CGF Project, will help to ensure that individual and institutional capacities are in place for effective, rights-based policy-making and use of public resources at national and sub-national levels.

Specifically, the project will roll out and scale up, at the global level, the already developed and tested toolkit on *Assessing Rule of Law in Public Administration (ROLPA)*. The ROLPA methodology allows government agencies to assess the respect for Rule of Law principles in the way they deliver essential services, and more broadly in the way they interface with society, including the most vulnerable groups, to build trust and strengthen the social contract between State and citizen by encouraging democratic oversight. Through the already completed piloting phase, the toolkit has proven effective and easily applicable for government agencies, at both national and local level, to detect structural and capacity gaps as well as constraints in the performance management of public institutions. To address these gaps the project will support partner governments and UNDP country offices to design new projects or adapt existing projects to reflect and implement recommendations from ROLPA country level assessments in minimum 20 countries over the life span of the project, either by adjusting existing projects or developing new projects in partnership with UNDP Regional Bureaux and country offices. A specific aim will be to minimize grievances that can be traced back to absent or questionable administrative decisions that can hold a significant conflict potential, especially in fragile settings. The project will serve as a vehicle for provision of technical assistance for implementation, including establishment of a Global ROLPA Help Desk, and facilitation of a resource network. Communication and advocacy around the results of the country level assessments will be crucial to galvanise broad support from citizens and institutions for a more rights-based approach to the way public institutions interface with society. Finally, South-South Cooperation between project countries will be a cornerstone to effectively achieve this output.

Output 4: Cutting-edge Knowledge and Lessons Learned from Practice on CGF Support in Fragile Situations Developed and Shared

Long term success in support to CGF requires a careful learning of lessons from experience and development of good practice knowledge specifically dedicated to addressing the causes and triggers of fragility based on a strong political economy understanding of the nature of evolving political settlements and their impact on core governance institutions. The 2014 UNDP Lessons Learned Review, *Restore or Reform*, highlighted the need for better and more specific guidance for staff in the field. The Global CGF project will use knowledge development as an opportunity to improve engagement in inter-agency policy development, and will actively promote collaboration through joint programming and planning amongst UN entities and other partners. Building from the SG policy committee decision, the Global CGF Project will also aim to support national partners and the UN family in the context of the transition of peacekeeping and special political missions. In the context of the New Deal, the Project will ensure a bottom-up approach to policy development, reflecting the challenges and achievements of CGF work in-country such that these realities continue to inform policy at the global level.

Moreover, an UN-wide “Global **CGF in Fragile Settings Knowledge and Learning Portal**” will be established, with UNDP leadership, which can serve as a permanent home for knowledge development and learning specifically on core government functions in fragile settings. It would be launched for the following purposes: 1) as a **repository and thematic library** of relevant source material and documentation on CGF in fragile settings; 2) as a **learning platform** in support to orientation and training on CGF in fragile settings; and 3) as the **global hub** for an online Community of Practice on CGF in fragile settings, which will be linked to the crisis response and crisis recovery portals. In staffing terms, the Global CGF portal will have a light footprint from within the UNDP RAI team, but will be extensively networked with knowledge cells in all the participating agencies and with the major external sources of expertise on this subject. The Global CGF Portal will be hosted by UNDP’s RAI team, but will be managed and populated through a collaborative mechanism through the recently established **UN Inter-Agency Platform on Support to Core Government Functions** (see below for further details on the Platform) that is jointly led by UNDP and DPA and includes partner UN agencies, including DPKO-DFS, PBSO, UNDESA, UN Women, UNICEF and UNCDF.

In addition, the Global CGF project will develop **guidance notes** and **training modules** for policy and programming practitioners in the five key areas of core government functions (center of government, PFM, civil service reform, aid management and local governance) to assist UN missions and Country Offices design and manage programmes to strengthen core governance institutions and (re) build state resilience,

as well as thematic **practice notes based on lessons learned** from practitioner experience on CGF programming challenges, opportunities, and possible entry points in fragile settings. Other activities include: conducting, in collaboration with research institutions, academia and think-tanks, **innovative research** necessary to enhance the understanding of CGF policy and programming support in order to improve policy and programme development and implementation; facilitating **South-South exchanges** on learning from experience; and establishing transformational **leadership as a thought leader** on bridging the technical-political gaps in policy and practice on core government functions in fragile contexts. All this curated knowledge and learning will be hosted on the Global CGF Portal.

Resources Required to Achieve the Expected Results

Key inputs for the successful implementation of this global project include adequate funding, knowledge generation and exchange, innovations and solid multi-agency partnerships. The expertise available with UNDP, the broader UN System, the World Bank Group and the broader CGF coalitions we have nurtured over time will also be harnessed to their full potential. The Governance Arrangement section of this document outlines the CGF Global Project management and support team. A specific resource mobilization and partnership strategy is being developed.

Partnerships

One of the main assets driving the CGF Global Project is the strong collaborative relationship between UNDP, the World Bank Group, and various United Nations agencies, senior experts, practitioners and scholastic networks that have coalesced around key CGF issues as they relate to key dimensions of fragility and contexts of crisis and/or violent conflict. UNDP has played a critical convening role in building the following multi-stakeholder partnerships:

UN Interagency Platform for Support to Core Government Functions in Fragile and Conflict-affected Settings

On 2 September 2015, the UN Secretary-General²² response to the High-Level Independent Panel on Peace Operations (HIPPO) stressed the importance of strengthening collaboration between UN agencies and WB across a shared set of objectives in crisis-affected countries. In fact, the SG instructed senior management to propose a mechanism that brings together the UN, World Bank and IMF to engage coherently in crisis-affected countries and to strengthen cooperation across core government functions, among other cross-cutting issues. In fulfilment of the SG Policy Committee Decision, and in order to enhance the predictability, coherence, accountability, and effectiveness in the delivery of support to Core Government Functions at country and international levels, the Global CGF Project will support the objectives of the UN Interagency Platform on Core Government Functions co-led by UNDP and DPA in its five key objectives, namely to 1) Deliver better results on the ground in post-conflict countries by ensuring closer UN coordination in the response to country-level requests with timely and quality assistance; 2) Ensure that the United Nations system is able to address capacity gaps in people, knowledge and policy to support the restoration of Core Government Functionality in a timely and effective manner; 3) Support UN outreach and partnerships with Member States (including “South-South cooperation”), the World Bank, non-governmental organizations and think-tanks; 4) Ensure closer collaboration between UN entities, the Bretton Woods Institutions, other international financial institutions and bilateral partners to foster joint country-level assessments, planning and programming guidance; and 5) Support resource mobilisation efforts to help strengthening core government functions in the immediate aftermath of conflict.

The Global CGF Project will support the Interagency Platform build on previous lessons and experiences that demonstrate the value and critical role of well-coordinated UN support to country-specific collaboration on core government functions, such as the production of Restore or Reform and joint work in South Sudan on assessing critical emerging needs in CGF following the August 2015 peace agreement, and

²² The future of United Nations peace operations: implementation of the recommendations of the High-level Independent Panel on Peace Operations Report of the Secretary-General” in particular paragraph 68.

the Central African Republic (CAR), where the UN and World Bank have collaborated on the payment of salaries for public sector employees following the December 2013 crisis. In addition, in CAR, DRC and Mali, recent joint UN support to local governance and restoration of state authority has been mobilized. Other examples are Libya and Somalia, where projects and long-term deployments of experts on core government functions have been put into place.

Collaboration with the Global Focal Point for Areas of Rule of Law

The Global CGF Project will also include collaboration with the Global Focal Point For Areas of Rule of Law, established in in 2012 at the directive of the Secretary General of the UN and co-chaired by UNDP and DPA on assessment and reform programming areas where there are interlinkages between security sector and public sector governance institutions, in particular focusing on public financial management (including public expenditure reviews) on a case-by-case basis. Ongoing examples include Libya where UNDP is working across the governance and security sector institutions teams, both at the country level between UNDP Libya and UNSMIL and at HQ between UNDP's Governance and Peacebuilding teams and DPKO-DFS to conduct an assessment of the security context and institutions.

UNDP Advisory Group of Senior Experts on Core Government Functions in Fragile Environments

The Global CGF Project will be guided by a UNDP advisory group of senior experts and practitioners with years of hands-on leadership experience in supporting the restoration and/reform of the core functionality of government in fragile contexts. The advisory group will assemble once a year to help guide the strategic positioning of the Global CGFs Project, informed by an assessment of results achieved in key project output areas, latest thinking and developments made through research and practice in areas of relevance, and identification of priorities for the annual work plan focusing on CGF policy and programming support. The advisory group will be limited to a small group of eminent persons, not to exceed eight in total number, who have a proven record of field-based operational experience and/or are recognized as leading global thought leaders and opinion makers on core government functions and building the resiliency of state institutions in post-conflict and fragile environments. Special care will be taken to reflect regional and gender balance among members of the advisory group, including screening for potential conflicts of interests that may compromise the neutrality and the validity of strategic guidance provided by this group of senior experts.

UN-World Bank Partnership on Supporting Core Government Functions in the Immediate Aftermath of Conflict

In March 2013, the Secretary General's Policy Committee called upon the United Nations, World Bank and International Monetary Fund to develop an approach and methodology for the "rapid needs assessment of Core Government Functions in order to improve the provision of fast, flexible and appropriate support to restoring the basic functionality of core systems in the immediate aftermath of conflict."²³ This decision followed from the Secretary-General's Report on Peacebuilding in the Immediate Aftermath of Conflict,²⁴ the independent report of the Senior Advisory Group on Civilian Capacity in the Aftermath of Conflict and a review of the UN system's country experiences in post-conflict public administration and capacity development, the Lessons Learned Review on UN Support to Core Government Functions (UNDP, 2014).

As a direct response to these calls, and thanks to initial seed funding from the Peacebuilding Fund (PBF), a partnership between the UN and the World Bank has emerged on support to core government functions in the immediate aftermath of conflict. A pioneer joint diagnostic framework was completed which included the conduct of the initiative and key aspects of the research have benefited from the comments and guidance of a joint UN/WB Steering Committee, which met on three occasions – for the launch, briefing on progress, and review of the draft report in 2014. During 2015 and 2016 the UN/WB team has been

progressing on the revision of lessons learned from pilot stages and strengthening of collaboration on core government functions at the thematic levels.

Risks and Assumptions:

The main risks in the context of this global project relate to:

- *Funding Support:* If full expected funding is not available and if the demand for support is greater than that to which the global project can respond, activities may have to be scaled back and prioritized. The project team is preparing a comprehensive resource mobilization strategy and exploring ways to strengthen the aforementioned partnerships with the World Bank and United Nations agencies. Innovative methods of fundraising are also being explored.
- *Political Context:* This is a risk to all UN and UNDP assistance at country level. Given the global project focus on situations of fragility, including countries transitioning from contexts of protracted violent conflict, political circumstances in some countries or regions may make it difficult or even impossible to implement planned activities. This is possible in cases where there is relapse of violent conflict. The project team will leverage its existing situation analysis tools and strong country-based knowledge to carefully assess the political economy dynamics of a requesting country, including existing political will and demand from government counterparts to implement CGF diagnostics and deployments, and tailor its activities accordingly in partnership with UNDP country offices, the World Bank and other United Nations agencies, depending on the operational context, as a way of minimizing this risk. Funding will be mobilized for country support-related activities on the basis of existing signs of demand for CGF support and commitments from both governments and country offices.
- *Strategic Partnerships:* As highlighted in the Restore or Reform report, there has been insufficient coordination in the past within the UN system, including with the World Bank, on supporting core government functions for countries impacted by dimensions of fragility and conflict. UNDP will continue to maintain close/strengthen and forge new partnerships with the World Bank and other UN entities, including as the co-lead of the UN Interagency Platform for Support to Core Government Functions in Fragile and Conflict-affected Countries and the lead UN agency for the UN-WB Partnership on Core Government Functions. The CGF Global Project will continue to nurture these partnerships to ensure joint prioritization and improve engagement on support to key CGF areas in fragile situations, including by leveraging the UNDP advisory group of senior experts and practitioners with years of hands-on leadership experience in supporting the restoration and/reform of the core functionality of government in fragile contexts and strengthening collaboration with inter-agency task teams/networks at the regional and country levels.

Stakeholder Engagement:

The main stakeholders in this global project are country governments, including center of government (executive office), key line ministries, state, provincial, district and other local governance bodies; UNDP, World Bank and other UN agency and donor country offices, academia, civil society, and NGOs that coalesce around supporting the strengthening and/or restoration of basic government functionality in fragile situations, and those in the peacebuilding community. In line with its commitment to gender equality and respect for rule of law principles, UNDP will ensure that gender equality is integrated in all aspects of the activities by ensuring women's representation in all meetings, addressing the marginalization of women, enhancing women's leadership potential in public administration and ensuring women and marginalized groups benefit from greater inclusion and opportunities for empowerment. Women's participation and leadership in decision-making will be enhanced through support to strategies which address discriminatory practices in governance systems and gender inequality in policies, plans and programmes as well as through support to broader affirmative action which aims to reduce gender disparities and capacity building for gender responsive budgeting.

South-South and Triangular Cooperation (SSC/TrC):

In line with UNDP's new corporate strategy (under review) on SSC/TrC recognizing the critical role of national capacities and the importance of universal access to knowledge as a development multiplier for accelerating the achievement of the 2030 Agenda, this project will facilitate South-South exchanges among countries to adapt and apply best practice solutions in re (building) CGFs in conflict-affected and fragile environments. UNDP will identify national specialists with experience in (re)building CGFs who are available for short-term and long-term South-South Exchanges and facilitate exchanges of personnel among countries, based on identified need and demand for CGFs, with seed funding for short-term deployments. The project team will also provide backstopping to personnel participating in South-South exchanges. UNDP will also document and disseminate experience and results from process of supporting and facilitating South-South exchanges.

Knowledge Creation and Knowledge Sharing:

Numerous knowledge products will be developed in the context of this project, thereby strengthening and indeed consolidating UNDP's role as a global thought leader and influencer in the global community working on supporting CGF in fragility and sustainable development contexts. Targeted efforts will be directed towards supporting innovative research and compiling lessons and new evidence from practice in (re)building CGFs in conflict-affected and fragile environments. This will include development of and/or support to cutting-edge research on innovative issues impacting CGFs, such as nature of political settlements, political economy analysis, bridging the political-technical divide, role of women in peace building and public administration, recovery frameworks, sequencing of reforms, service delivery, capacity of local authorities, inclusive participation and decision-making, transparent and accountable governance systems, and monitoring and measuring implementation progress. The project team will also distil, publish and disseminate research findings into a regular piloting of innovative practices identified through research and lessons from practice. In addition, UNDP will convene and enable cross-regional knowledge exchanges to internalize and apply innovations and new evidence from practice and research. The Global CGF project will establish and operate a global CGFs knowledge and learning portal that will be launched as a global platform on CGFs for learning, lessons and best practices. It will maintain and expand UNDP's global roster of experts on CGFs and launch and moderate a global community of practice on CGFs. Additionally, UNDP will conduct two global conferences on UNDP's CGFs approach to exchange and disseminate knowledge, expand professional networks, and help bridge the technical-political divide in policy and practice. The project team will also promote UNDP's approach, results and innovations on CGFs gained from this project at global and regional multilateral events and experts' meetings (such as the World Bank annual Fragility Forum).

Sustainability and Scaling Up:

With regard to the sustainability of the project approach and results, emphasis will be placed on institutional learned, institutional capacity development, with a special focus on strengthening of national CGF systems, in addition to building a strong and broad global network of CGF and fragility practitioners, a solid, inclusive and gender-sensitive roster of experts, a details database of all the knowledge products generated through this project, as well as updates to the UN/WB diagnostic tool for CGF support in conflict-affected countries to support policy and programming in the broader areas of building responsive and accountable institutions to help achieve SDG 16, beyond this project. The outputs of this project will also inform future corporate planning with UNDP. In addition, UNDP will also diversify sources of funding and partnerships. Additionally, the global CGFs knowledge and learning portal and social media tools and platforms will be leveraged to feature progress and partnerships, as well as promising emerging good practices and successes.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness:

The Global CGF project strategy is meant to enable the delivery of maximum results with available resources, making the best of the decentralised presence of core government functions and recovery advisors and specialists in the different UNDP Country Offices, Regional Service Centres/Hubs, inter-agency partnerships (UN and World Bank) and, existing national systems and capacity on the ground. Online platforms will also be harnessed to limit costs (consultations, e-discussions, online knowledge sharing and management via the portal). Many activities will be jointly delivered with the World Bank and other UN agencies part of the UN Interagency Platform for Support to Core Government Functions in Fragile and Conflict-affected Countries and partners on the ground. The Global CGF Project will also explore synergies with other initiatives within the UNDP/BPPS Governance and Peacebuilding and Sustainable Development clusters to ensure close collaboration with other thematic teams.

Project Management:

The Global CGF Project management and support team will be located in the BPPS Governance and Peacebuilding Cluster's Responsive and Accountable Institutions team based in New York, USA, with activities closely coordinated with the UNDP regional bureaus, regional hubs and UNDP country offices at all levels. *Detailed governance arrangements are outlined in section VIII.*

V. RESULTS FRAMEWORK

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:									
Primary Outcome – UNDP SP 2014-2017 - Outcome 3 – Countries have strengthened institutions to progressively deliver universal access to basic services									
Outcome Indicators as stated in the UNDP Strategic Plan Integrated Results and Response Framework									
SP Outcome 3 – Indicator 3.1. Level of public confidence in the delivery of basic services, disaggregated by sex, urban/rural and income groups									
SP Outcome 3 – Indicator 3.4 Proportion of core government functions reaching minimum operational levels in post conflict situations									
Applicable Output(s) from the UNDP Strategic Plan:									
SP Output 3.1. – Core functions of government enabled (in post conflict situations) to ensure national ownership of recovery and development processes									
Relevant Output Indicators									
Output Indicator 3.1. Number of countries with restored or strengthened core government functions									
Project title and Atlas Project Number: GLOBAL PROJECT ON SUPPORTING CORE GOVERNMENT FUNCTIONS TO ADDRESS FRAGILITY AND BUILD RESILIENCE									
EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS
			Value	Year	Year 1	Year 2	Year 3	FINAL	
Output 1 <i>UNDP Global Policy Framework on CGF Support in Fragile and Conflict-affected Situations Developed and Applied</i>	<i>1.1. Number of UNDP global guidance documents developed and shared to support policy and programming on CGFs</i>	UNDP	0	2015	2	2	1	5	Internal reporting
	<i>1.2. Number of fragile and conflict-affected countries that have adapted and/or applied the Global CGF Policy Framework guidance materials</i>	UNDP	0	2015	2	4	6	12	Internal reporting
	<i>1.3. Number of countries able to apply technical assistance and advisory services to (re)build CGFs in fragile and conflict-affected environments</i>	UNDP	0	2015	2	4	6	12	Internal reporting
	<i>1.4. Number of South-South Cooperation Exchanges to realize and/or adopt the Global CGF Policy Framework</i>	UNDP	0	2015	1	2	2	5	Internal reporting

Output 2 United Nations-World Bank Joint Diagnostic Assessment Tool for Joint Support to CGF in the Immediate Aftermath of Conflict Strengthened and Applied	2.1 Number of conflict-affected countries where the UN-WB Diagnostic Assessment Tool on Core Government Functions have been completed and validated	UNDP	3	2015	2	3	4	9	Internal reporting/ SDG country reports
	2.2. Number of joint programmes and other interventions between UNDP and the World Bank at country levels	UNDP	1	2015	0	1	2	3	Internal reporting
	2.3. Number of corporate-level partnership collaborations between UNDP and other UN agencies as well as the World Bank	UNDP	1	2015	1	4	4	9	Internal reporting
Output 3 Strengthened Respect for Rule of Law Principles in Public Institutions	3.1. Number of countries with ROLPA assessments conducted for public institutions that are key to performing core government functionality and service delivery	UNDP	3	2015	2	3	3	8	Internal reporting
	3.2. Number of countries addressing capacity gaps, as detected by ROLPA assessments.	UNDP	0	2015	1	2	2	5	Internal reporting
	3.3. Number of countries where the national or local government has proactively undertaken assessments, follow up activities made available to the public	UNDP	0	2015	1	2	2	5	Internal reporting
	3.4. Number of countries involved in South-South exchanges with other countries prioritising respect for Rule of Law principles in public institutions	UNDP	0	2015	2	3	3	8	Internal reporting
Output 4 Cutting-edge Knowledge and Lessons Learned from Practice on CGF Support in	4.1. Number of innovative global research pieces on CGFs undertaken by UNDP or in partnership with other stakeholders	UNDP	0	2015	2	3	3	8	Internal reporting
	4.2. Percent of positive feedback polled from users of CGFs knowledge and learning portal	UNDP	0%	2015	40%	60%	70%	70%	Internal reporting and online surveys

Fragile Situations Developed and Shared	4.3. Number of UNDP-supported CGF knowledge products that are presented in global/regional fora to share lessons and knowledge from practice	UNDP	1	2016	2	4	8	14	Internal reporting
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VI. MONITORING AND EVALUATION

In accordance with UNDP’s programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: [Note: monitoring and evaluation plans should be adapted to project context, as needed]

Monitoring Plan:

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track Results Progress	<ul style="list-style-type: none"> - Collect and analyse progress data against the results indicators in the RRF to assess the progress of the project in achieving the agreed outputs. 	Quarterly, or in the frequency required for each indicator.	<ul style="list-style-type: none"> - Progress data against the results indicators in the RRF will be collected and analysed - Slower than expected progress will be addressed by project management. 	<ul style="list-style-type: none"> - UNDP partners (Country Offices, relevant BPPS teams, Global Policy Centres, Regional Bureaus, Evaluation Office, Human Development 	TBD
Monitor and Manage Risk	<ul style="list-style-type: none"> - Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP’s Social and Environmental Standards. - Conduct audits in accordance with UNDP’s audit policy to manage financial risk. 	Ongoing, at least quarterly	<ul style="list-style-type: none"> - Risks are to be identified by project management and actions are to be taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken. - Audits will be conducted in accordance with UNDP’s audit policy to manage financial risk. 		TBD

Learn	<ul style="list-style-type: none"> - Capture knowledge, good practices and lessons regularly, as well as actively source them from other projects and partners and integrated back into the project. 	Ongoing, at least annually	<ul style="list-style-type: none"> - Relevant lessons are captured by the project team and used to inform management decisions. 	Report Office, others as required	TBD
Annual Project Quality Assurance	<ul style="list-style-type: none"> - Assess the quality of the project against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project. 	Annually	<ul style="list-style-type: none"> - Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance. 	<ul style="list-style-type: none"> - UN Interagency Partners: CGF Interagency Platform member, UNCTs, DOCO, and others as relevant. - External partners will also be consulted as deemed necessary by project team and project board 	TBD
Review and Make Course Corrections	<ul style="list-style-type: none"> - Make use of internal review of data and evidence from all monitoring actions to inform decision making throughout project lifetime. 	At least annually	<ul style="list-style-type: none"> - Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections. 		TBD
Project Report	<ul style="list-style-type: none"> - Present a progress report to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period. 	Annually, and at the end of the project (final report)	<ul style="list-style-type: none"> - A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period. 		TBD
Project Review (Project Board)	<ul style="list-style-type: none"> - Hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. - In the project's final year, hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons 	Annually	<ul style="list-style-type: none"> - The project board will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. - In the project's final year, the project board will hold an end-of project review to capture lessons learned and discuss opportunities for scaling up 		TBD

	learned with relevant audiences.		and to socialize project results and lessons learned with relevant audiences. - Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		
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Evaluation Plan:

Evaluation Title	Related Strategic Plan Output	UNDAF/CPD/SP Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Global Evaluation on UNDP's Contribution to Strengthening Core Government Functions to Address Fragility and Build Resilience	3.1	3	December 2019	<ul style="list-style-type: none"> - UNDP partners (Country Offices, relevant BPPS cluster teams, Global Policy Centres, Regional Bureaus, Independent Evaluation Office, Human Development Report Office, others as required. - UN Interagency Partners: CGF Interagency Platform members, UNCTs, DOCO, and others as relevant. - External partners will also be consulted as deemed necessary by project team and project board 	USD 100,000 Source: TBD

VII. MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3		Funding Source	Budget Description	Amount
Output 1 UNDP Global Policy Framework on CGF Support in Fragile and Conflict-affected Situations Developed and Applied	Activity 1.1: Provide cutting-edge global policy and programming guidance and support to enhance CGFs 1.1.1: Develop, disseminate and promote a UNDP global policy framework on Core Government Functions in conflict-affected and fragile environments 1.1.2: Develop, disseminate and promote cutting-edge policy and programmatic guidance in each of the five CGFs prioritized by UN development system,: civil service, aid coordination, center of government, public financial management, and local governance, including guidance materials developed as part of the CGF CRP (focused on local governance, aid management and civil service reform specifically) 1.1.3: Validation workshops of policy and programming instruments, and CGF CRP materials with CGF specialists from UN Country Teams and Government counterparts 1.1.4: Support research undertaken on gender equality in public administration to inform policy and	USD 300,000	USD 300,000	USD 300,000	UNDP BPPS/GP UNDP Regional Hubs UNDP Country Offices		Personnel, Seed Funding ,Workshops/Seminar, Consultants, Publications, Professional Services	USD 900,000

	<p>programming in post-conflict settings</p> <p>1.1.5: Support policy development on addressing inequalities facing women in the civil service</p> <p>1.1.6: Two global conferences over 3 years to disseminate CGF policy and programming instruments</p>							
	<p>Activity 1.2: Develop and deliver package of training modules to support dissemination and application of UNDP approach to CGFs</p> <p>1.2.1 Develop training package for each of the five CGF areas: civil service, aid coordination, center of government, public financial management, and local governance, including training modules for the guidance materials developed as part of the CGF CRP</p> <p>1.2.2 Adapt modules for online and in-person delivery, based on one, two, and three-day delivery options</p> <p>1.2.3 Develop on-line course on CGFs based on training package</p> <p>1.2.4 Conduct webinars for each training module</p> <p>1.2.5 Deliver in-person training at least twice in each of the five regions over 3 years</p>	<p>USD 500,000</p>	<p>USD 925,000</p>	<p>USD 700,000</p>	<p>UNDP BPPS/GP UNDP Regional Hubs UNDP Country Offices</p>	<p>Personnel, Seed Funding , Workshops/Seminar, Consultants, Publications, Professional Services</p>	<p>USD 2,125,000</p>	
	<p>Activity 1.3: Support the formulation, launching and implementation of programmes to re(build) CGFs for sustainable development and peace</p> <p>1.3.1 Build on priorities identified in UN/WB CGFs diagnostic assessment, leveraging relevant RPBA</p>	<p>USD 1,687,500</p>	<p>USD 2,250,000</p>	<p>USD 2,812,500</p>	<p>UNDP BPPS/GP UNDP Regional Hubs UNDP Country Offices</p>	<p>Personnel, Seed Funding , Workshops/Seminar, Consultants, Publications, Professional</p>	<p>USD 6,750,000</p>	

	<p>recommendations, to formulate action plan and programme of support for CGFs in fragile settings</p> <p>1.3.2 Provide seed funding to initiate implementation of action plan and national programme on CGFs</p> <p>1.3.3 Provide technical backstopping to launching phase and to intermediate stages of implementation</p> <p>1.3.4: Support and enhance national capacities to address inequalities in the public administration</p>						Services	
	<p>Activity 1.4: Facilitate South-South exchanges among countries to adapt and apply best practice solutions in re(building) CGFs in conflict-affected and fragile environments</p> <p>1.4.1 Identify national specialists with experience in (re)building CGFs in fragile settings in low-income and lower middle-income country contexts who are available for short-term and long-term South-South Exchanges</p> <p>1.4.2 Facilitate exchanges of personnel among countries, based on identified need and demand for CGFs, with seed funding for short-term deployments</p> <p>1.4.3 Provide backstopping support to personnel participating in South-South exchanges</p> <p>1.4.4 Document and disseminate experience and results from process of supporting and facilitating South-South exchanges, including publication of lessons learned from each exchange</p>	USD 291,668	USD 291,666	USD 291,666	UNDP BPPS/GP UNDP Regional Hubs UNDP Country Offices	Personnel, Seed Funding ,Workshops/Seminar, Consultants, Publications, Professional Services	USD 875,000	

	and a global publication							
	MONITORING	USD 20,000	USD 20,000	USD 20,000	UNDP Global CGF Project Team		Lessons Learned Review, Surveys, Reports	USD 60,000
	Sub-Total for Output 1							
Output 2 <i>United Nations-World Bank Joint Diagnostic Assessment Tool for Joint Support to CGF in the Immediate Aftermath of Conflict Strengthened and Applied</i>	Activity 2.1: Provide country offices with the resources and expertise to undertake robust CGF assessments based on political context and drivers of fragility. 2.1.1. Deploy teams of experts from UNDP and World Bank to undertake CGF assessment missions on the ground, coordinating with ongoing or completed RPBA for overlapping countries. 2.1.2. Organize in-country validation processes of key strategic CGF areas 2.1.3. Develop road-maps and actionable policy and programmatic recommendations on how to address CGF in fragile situations.	USD 350,000	USD 300,000	USD 250,000	UNDP HQ and Regional Hub Teams; World Bank; Other UN Agencies part of the UN Interagency Platform on Core Government Functions		Personnel, Travel, Seed Funding	USD 900,000
	Activity 2.2: Implement joint UN/DP and World Bank policy and programmatic support for CGFs at the country level 2.2.1. Provide seed funding for joint UN/DP and World Bank policy and programmatic support at the country level (\$500,000 / country) 2.2.2. Provide backstopping support	USD 1,000,000	USD 2,000,000	USD 2,000,000	UNDP HQ and Regional Hub Teams; World Bank; Other UN Agencies part of the UN Interagency Platform on Core		Personnel, Travel, Seed Funding	USD 5,000,000

	from New York and Washington, D.C. HQs to support core government functions programmes				Government Functions			
	<p>Activity 2.3: Strengthen joint UN/DP and World Bank substantive partnership collaboration based on implementation lessons learned and key insights.</p> <p>2.3.1. Organize and implement joint sessions at Annual Fragility Forums in Washington, D.C. and other venues to discuss progress of UN/DP -WB partnership arrangements and dissemination results</p> <p>2.3.2. Organize substantive discussion forums and platforms to strengthen knowledge and insights on CGF in fragile settings across UN/DP and World Bank teams</p> <p>2.3.3. Develop case studies and reviews of lessons learned on joint UN/DP and World Bank partnership on CGF in fragile settings at the country and thematic levels</p>	USD 250,000	USD 300,000	USD 200,000	UNDP HQ and Regional Hub Teams; World Bank; Other UN Agencies part of the UN Interagency Platform on Core Government Functions		Personnel, Travel, Seed Funding	USD 750,000
	MONITORING	USD 20,000	USD 20,000	USD 20,000	UNDP Global CGF Project Team		Lessons Learned Review, Surveys, Reports	USD 60,000
	Sub-Total for Output 2	USD 6,710,000						
Output 3 <i>Strengthened Respect for Rule of Law Principles in Public</i>	Activity 3.1 Country level assessments of respect for rule of law principles in public institutions at national and local level to detect gaps in rights-	USD 300,000	USD 350,000	USD 370,000	UNDP/BPPS/GP ; UNDP Regional Hubs; UNDP Country Offices; Key		Technical Policy and Programme Support, Publications, Advocacy,	USD 1,020,000

Institutions	based decision-making 3.1.1 Support national partners in adapting the ROLPA methodology to reflect context-specific challenges 3.1.2 Deploy UNDP technical expertise to support governments in undertaking ROLPA self-assessment 3.1.3 Organize in-country inception and validation workshops 3.1.4 Synthesize recommendations at country level 3.1.5 Compile and analyse recommendations for global knowledge management				country level partners; Civil service training centres and institutes;; Research Institutions in the project countries		Professional Services, Workshops, M&E	
	Activity 3.2 Provision of technical assistance for implementation of actionable policy and programme recommendations 3.2.1 Technical support from UNDP HQ and Regional Hubs 3.2.2 Establishment of Global ROLPA Help Desk 3.2.3 Facilitation of resource network/advisory board	USD 500,000	USD 500,000	USD 500,000	UNDP/BPPS/GP ; UNDP Regional Hubs; UNDP Country Offices; Key country level partners; Civil service training centres and institutes;; Research Institutions in the project countries		Technical Policy and Programme Support, Publications, Advocacy, Professional Services, Workshops, M&E	USD 1,500,000
	Activity 3.3 Design new interventions or adapt existing projects at country level to strengthen the interface between public institutions and societies based on ROLPA assessment recommendations 3.3.1 Develop locally-owned road-maps	USD 550,000	USD 1,000,000	USD 1,000,000	UNDP/BPPS/GP ; UNDP Regional Hubs; UNDP Country Offices; Key country level partners; Civil		Technical Policy and Programme Support, Publications, Advocacy, Professional Services,	USD 2,550,000

	<p>based on a participatory approach that includes men’s and women’s groups for implementation of ROLPA assessment recommendations</p> <p>3.3.2 Design new projects or adapt existing projects at country level to reflect recommendations from country level assessments</p> <p>3.3.3 Provide seed funding to begin implementation of recommendations at national and sub-national level</p>				<p>service training centres and institutes;; Research Institutions in the project countries</p>		<p>Workshops, M&E</p>	
	<p>Activity 3.4 Communication and advocacy around the results of the country level assessments</p> <p>3.4.1 Support government counterparts in developing and executing communications strategy to forge transparency and trust around assessment results and follow up</p> <p>3.4.2 Stories published globally providing evidence of the transformational change potential of the ROLPA approach to strengthening the social contract and sustaining peace</p> <p>3.4.3 Partner with research institutions to publish op-eds and academic articles promoting the ROLPA approach to strengthening State-society relations</p> <p>3.4.4 Develop new iteration of the ROLPA toolkit based on a comprehensive lessons learned review</p>	<p>USD 100,000</p>	<p>USD 150,000</p>	<p>USD 150,000</p>	<p>UNDP/BPPS/GP ; UNDP Regional Hubs; UNDP Country Offices; Key country level partners; Civil service training centres and institutes; Research Institutions in the project countries</p>		<p>Technical Policy and Programme Support, Publications, Advocacy, Professional Services, Workshops, M&E</p>	<p>USD 400,000</p>
	<p>Activity 3.5 South-South Cooperation between project countries.</p> <p>3.5.1 Organize annual workshop to</p>	<p>USD 100,000</p>	<p>USD 150,000</p>	<p>USD</p>	<p>UNDP/BPPS/GP ; UNDP Regional Hubs;</p>		<p>Technical Policy and Programme Support,</p>	<p>USD 400,000</p>

	forge learning and twinning between project countries and local governments that are institutionalising a rights-based approach to public service. 3.5.2 Present the ROLPA approach and its impact on State-society relations at the Global South-South Expo in Year 2 and 3 of the project			150,000	UNDP Country Offices; Key country level partners; Civil service training centres and institutes;; Research Institutions in the project countries		Publications, Advocacy, Professional Services, Workshops, M&E	
	MONITORING	USD 20,000	USD 20,000	USD 20,000	UNDP Global CGF Project Team		Lessons Learned Review, Surveys, Reports	USD 60,000
	Sub-Total for Output 3							
Output 4 <i>Cutting-edge Knowledge and Lessons Learned from Practice on CGF Support in Fragile Situations Developed and Shared</i>	Activity 4.1: Support innovative research and compile lessons learned and new evidence from practice in (re)building CGFs in conflict-affected and fragile environments 4.1.1 Develop/support cutting-edge research on innovative issues impacting CGFs, such as nature of political settlements, political economy analysis, bridging the political-technical divide, , recovery frameworks, sequencing of reforms, service delivery, capacity of local authorities, inclusive participation and decision-making, transparent and accountable governance systems, and monitoring and measuring implementation	USD 200,000	USD 875,000	USD 875,000	UNDP BPPS/GP UNDP Regional Hubs		Personnel, Workshops/Seminars, Consultants, Professional Services, Travel.	USD 1,950,000

	<p>progress</p> <p>4.1.2 Support the generation and collation of success stories of women in the civil service who have broken through glass walls and ceilings in fragile and conflict-affected contexts.</p> <p>4.1.3 Promote research and mapping of innovative approaches to enhancing women’s leadership in governance institutions</p> <p>4.1.4 Support knowledge-sharing and collaboration sessions on furthering the use and analysis of disaggregated data on women in core government institutions.</p> <p>4.1.5 Distil, publish and disseminate research findings into a regular publication series targeted for use and application by practitioners</p> <p>4.1.6 Support piloting of innovative practices identified through research and lessons from practice</p> <p>4.1.7 Convene and enable cross-regional knowledge exchanges to internalize and apply innovations and new evidence from practice and research</p>							
	<p>Activity 4.2: Establish and operate a CGFs knowledge and learning portal</p> <p>4.2.1 Formulate and implement an action plan for CGFs portal</p> <p>4.2.2 Populate portal content and launch as global platform on CGFs for learning, lessons and best practices</p>	USD 250,000	USD 300,000	USD 300,000	UNDP BPPS/GP UNDP Regional Hubs	Personnel, Workshops/Se minars, Consultants, Professional Services, Travel.	USD 850,000	

	<p>4.2.3 Support platform developed to house knowledge and data on gender equality in core government institutions.</p> <p>4.2.4 Formulate, implement and maintain an up-to-date marketing and communications plan to support portal objectives</p> <p>4.2.5 Maintain and expand UNDP's global roster of experts on CGFs</p> <p>4.2.6 Launch and moderate a global community of practice on CGFs</p>							
	<p>Activity 4.3: Foster and leverage UN inter-agency and multi-stakeholders partnerships on CGFs:</p> <p>4.3.1 Convene regular meetings of UN Inter-Agency Platform on Core Government Functions to contribute to CGFs agenda-setting and coordinate implementation support at national level</p> <p>4.3.2 Convene and facilitate donors'/partners' meetings on CGFs</p> <p>4.3.3 Establish a CGFs Advisory Group of eminent experts and convene annual meetings to provide project strategic guidance and positioning</p> <p>4.3.4 Conduct two global conferences on UNDP's CGFs approach to exchange and disseminate knowledge, expand professional networks, and help bridge the technical-political divide in policy and practice</p> <p>4.3.5 Promote UNDP's approach, results and innovations on CGFs, at</p>	USD 430,000	USD 430,000	USD 430,000	UNDP BPPS/GP UNDP Regional Hubs	Personnel, Workshops/Se minars, Consultants, Professional Services, Travel.	USD 1,290,000	

	global and regional multilateral events and experts' meetings (such as World Bank Fragility Forum)								
	MONITORING	USD 20,000	USD 20,000	USD 20,000	UNDP Global CGF Project Team		Lessons Learned Review, Surveys, Reports	USD 60,000	
	Sub-Total for Output 4								USD 4,150,000
Evaluation (as relevant)				USD 100,000	UNDP Global CGF Project team, with relevant regional CGF focal points in relevant BPPS clusters		Consultants, travel, editing, design, printing	USD 100,000	
General Management Support (8%)									USD 2,400,000
TOTAL								USD 30 Million	

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The management arrangements for implementing the project will comprise of the following:

- **Global Project Board** to provide overall policy and strategic guidance,
- **Advisory Group of Senior Experts on Core Government Functions in Fragile Environments** to provide substantive technical and strategic guidance on planned activities.
- **Global Project Management Unit** (Global CGF Project Management and Support team including a designated Project Manager), housed in the UNDP BPPS Governance and Peacebuilding Cluster's Responsive and Accountable Institutions team, that will be responsible for the day to day management of the project.

UNDP will be the executing entity and administrative authority for the *Global CGF Project*. UNDP will be solely accountable to the donors for the programme. The modality for programme implementation will be Direct Implementation (DIM). The Project Board will be chaired by the Chief of Profession/Director of the BPPS Governance and Peacebuilding Cluster, and composed of project beneficiaries (Country Offices and Regional Bureaus) and senior suppliers (main donors and UNDP BERA). The main role of the Board is to provide guidance and direction to the Project Management Unit and the Help Desk to facilitate the effective and efficient implementation of the project. The Help Desk will be based in NY HQ and staffed by the Responsive and Accountable Institutions team that will be responsible for the day-to-day management of the Help Desk. The Project Management Unit will be anchored in the Responsive and Accountable Institutions (RAI) Team of the Governance and Peacebuilding Cluster in UNDP's Bureau for Policy and Programme Support, and will draw on all technical resources available in UNDP's central and regional bureaus. Implementation will be done under the overall management of the RAI Team Leader, and the oversight of the BPPS Chief of Profession/Director for Governance and Peacebuilding.

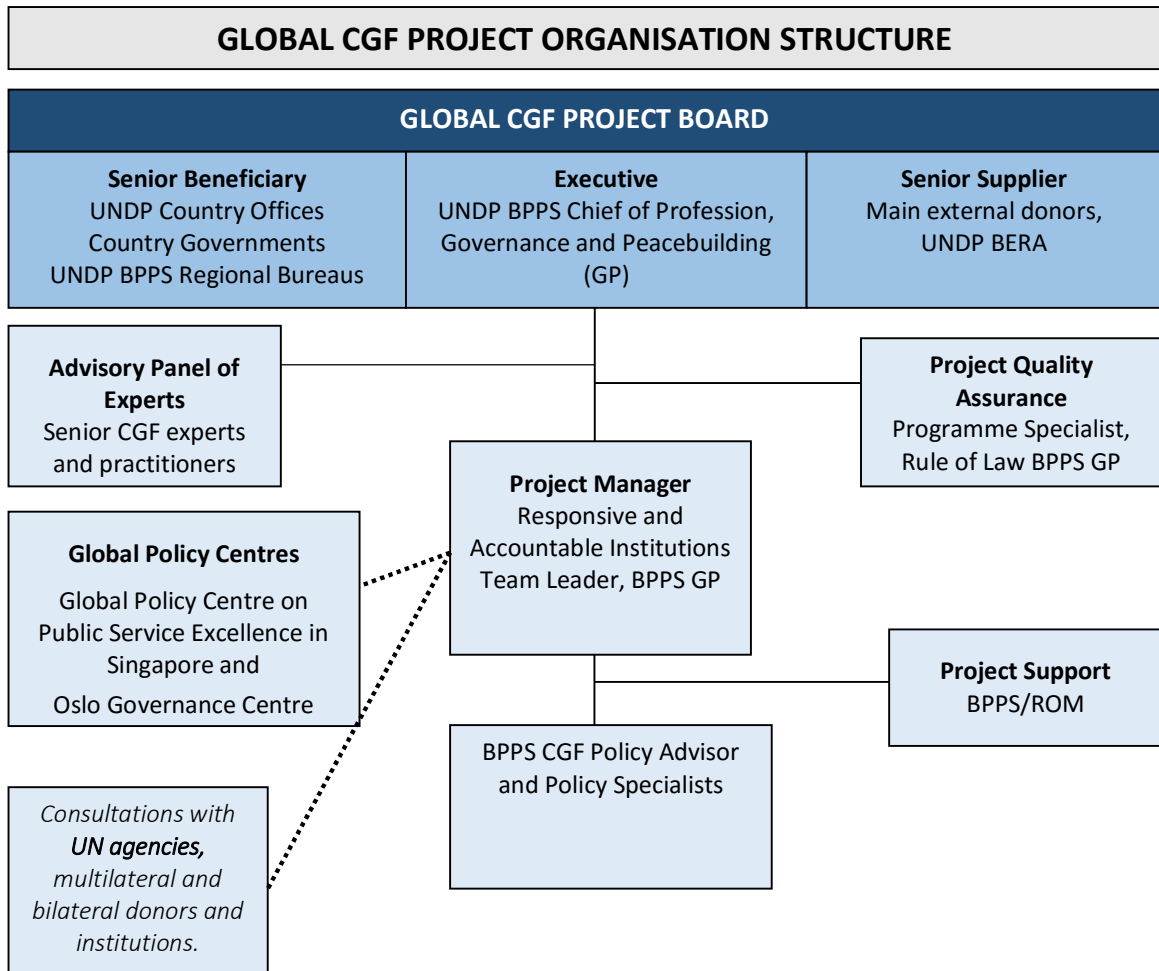
Policy, programming, and knowledge management support will be delivered by the *Global CGF Project* HQ team. The *Global CGF Project* team will also liaise on country-level support with the regional specialists in the Regional Service Centres/Hubs. Country support will be delivered by the HQ team in close coordination with the respective Regional Bureaus and/or Hubs of UNDP: the Regional Bureau for Africa, the Regional Bureau for Asia and the Pacific, the Regional Bureau for Arab States, the Regional Bureau for Europe and CIS and the Regional Bureau of Latin America and the Caribbean. Activities implemented by the *Global CGF Project* HQ team will be delivered in close coordination with the respective UNDP country offices, in consultation and collaboration with their regional bureaus and other project partners as needed (e.g. World Bank for joint activities).

The *Global CGF project* will closely coordinate and exchange knowledge with relevant advisors in the areas of Governance and Peacebuilding and the relevant projects they manage, as well as with the Regional Bureaus/Regional Service Centres, the Bureau of Management, the Global Policy Centres (including the Global Policy Centre on Public Service Excellence in Singapore and the Oslo Governance Centre), SIGOP, the Bureau for External Relations and Advocacy, and the Human Development Report Office.

The Chief of Profession, Governance and Peacebuilding, BPPS will ultimately be accountable for the results of the project. The Global CGF Project Manager will be responsible for day-to-day management and decision-making under the supervision of the Governance and Peacebuilding Chief of Profession, who will ensure compliance with the required standards of quality and within the specified limits of time and cost. The Project Manager will also be responsible for liaising with other relevant projects and initiatives, and the UN Interagency Platform for Supporting CGF in Fragile and Conflict-Affected Countries. The *Global CGF Project* will also rely on experienced international consultants as part of the support team as needed.

UNDP will ensure diligent preparation and coordination of the Project Board and have regular technical team meetings. The Project Manager will be responsible for drafting the workplans, budgets and reports related to the project. The Project Manager will coordinate, manage and monitor all activities, including

the ones contracted to responsible party under the project. He/she will manage project resources as per UN/UNDP rules and regulations and be responsible for mobilising additional resources to the project.



IX. LEGAL CONTEXT AND RISK MANAGEMENT

LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAA for the specific countries; or (ii) in the [Supplemental Provisions](#) attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by the agency (UNDP, also the “Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

RISK MANAGEMENT

1. UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS). The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. The Implementing Partner shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.
2. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Consistent with UNDP’s Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

X. ANNEXES

- I. Social and Environmental Screening
- II. Risk Analysis
- III. Project Quality Assurance Assessment: Design and Appraisal

Annex I. Social and Environmental Screening

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	GLOBAL PROJECT ON SUPPORTING CORE GOVERNMENT FUNCTIONS TO ADDRESS FRAGILITY AND BUILD RESILIENCE (also referred to as the “Global CGF Project”)
2. Project Number	96753
3. Location (Global/Region/Country)	Global; UNDP Country Offices

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

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The Global CGF Project is based on a human rights-based approach to core government functions with a fundamental respect for basic principles of rule of law that promote equality and inclusion. The Global CGF Project is based on a strong understanding that public institutions have obligations not only to deliver services, but to do so while upholding fundamental rights-based principles and standards that ensure recipients of these services have equal access to both decision-making processes and quality services. People, in particular those suffering from exclusion and discrimination, also need better information about what they are entitled to obtain from the public institutions that serve them. This is particularly the case in fragile, crisis and post-crisis environments where public administration institutions are often the only authority in place, with a key role as a facilitator in a range of national and international reconciliation initiatives, where women, youth and members of disadvantaged or vulnerable groups, such as indigenous peoples, minorities and people with disabilities, tend to be particularly affected by lack of respect for basic rule of law principles in the interface between government institutions and societies. The Global CGF Project will be implemented using UNDP’s toolkit for *Assessing Respect for Rule of Law in Public Administration* (ROLPA). The Global CGF Project will support countries to undertake ROLPA assessments using this toolkit in conjunction with the UN/WB CGF diagnostic framework and address identified capacity gaps through follow-up projects improving legislation, policy, coordination and/or human capacity to enable more rights-based administrative decisions by public institutions – verified in improvements in recurring results of ROLPA assessments over time. The Global CGF Project will also facilitate South-South exchanges prioritising respect for Rule of Law principles in public institutions. For more information on the UNDP Assessing Respect for ROLPA toolkit, please visit:

http://www.undp.org/content/undp/en/home/librarypage/democratic-governance/public_administration/toolkit-for-assessing-respect-for-rule-

of-law-in-public-administ.html

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

The Global CGF Project is situated in a strong understanding that women's empowerment and leadership in public administration benefits not only women, but public administration *as a whole*. The Global CGF Project will be implemented in close coordination with the UNDP 'Gender Equality in Public Administration' (GEPA) Initiative, also implemented by the BPPS/GP cluster, to explore opportunities to promote synergies and linkages between women's representation and leadership in public administration with the broader gender equality agenda, including areas that address systemic gender-based discrimination and bias; support women's education and preparedness for civil service careers, with a focus on young women; develop national gender equality plans with concrete strategies and implementation mechanisms; support networks and multi-stakeholder platforms to exchange knowledge and experience; strengthen national oversight, monitoring and accountability to promote women's visibility and gender equality in core government institutions. In supporting capacity development at all levels, the Global CGF Project will aim to pay particular attention to young women, and encourage the integration of women's participation and leadership in public administration in UNDAFs, CPDs, and national public administration structures as part of CGF support to target countries. For more information on the UNDP GEPA Initiative, please visit: www.undp.org/gepa.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The Global CGF Project is committed to working in close collaboration with UNDP country offices, UNCTs, UN peacekeeping and political missions, government stakeholders and donor partners to develop robust systems for strengthening the basic functionality of core governance institutions that are capable of addressing the challenges posed by climate change, environmental sustainability and disaster risk reduction.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>		QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?	
Risk Description		Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	
NO RISKS IDENTIFIED				<i>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</i>	
[add additional rows as needed]					
		QUESTION 4: What is the overall Project risk categorization?			
		Select one (see SESP for guidance)		Comments	
		<i>Low Risk</i>	<input checked="" type="checkbox"/>	The project does not present any social or environmental risks.	
		<i>Moderate Risk</i>	<input type="checkbox"/>		
		<i>High Risk</i>	<input type="checkbox"/>		
		QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
		Check all that apply		Comments	
		Principle 1: Human Rights	<input type="checkbox"/>		
		Principle 2: Gender Equality and Women’s Empowerment	<input type="checkbox"/>		
		1. Biodiversity Conservation and Natural	<input type="checkbox"/>		

	Resource Management		
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>	
	3. Community Health, Safety and Working Conditions	<input type="checkbox"/>	
	4. Cultural Heritage	<input type="checkbox"/>	
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input type="checkbox"/>	
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ²⁵	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	Not Applicable
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative	No

²⁵ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	sources and/or indigenous peoples or local communities?	
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ²⁶ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No

²⁶ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ²⁷	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the	N/A

²⁷ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

	objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex II: Global CGF Project Risk Analysis

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update
1	Lack of political will from government counterparts to implement diagnostics and deployments	Formulation stage	Political	Slow progress and delays in implementation and lack of ownership for reform P = 3 I = 4	Countries will be selected based on demand from government counterparts and UNDP/WB prioritization	Project manager	Project manager	Start of project
2	Coordination and prioritization with World Bank and other partners	Formulation stage	Organizational	Internal leadership / operational disputes that delay implementation P = 2 I = 3	A coordination mechanism as part of the UN/WB partnership will be monitored. Flexibility in deployment and selection of functions to support will be promoted	Project manager	Project manager	Start of project
3	Relapse of return of conflict	Formulation stage	Political	Stop project implementation P = 4 I = 5	Monitor context at country level. If conflict returns, operation will have to be postponed	Project manager and UNDP leadership	Project manager	Start of project
4	Lack of funds allocated for activities implementation	Formulation stage	Operational and Financial	Limited funds may limit scope of activities P = 4 I = 4	Activities to be prioritized and adjusted according to funding allocations. Active fund raising with key partners.	Project manager and UNDP leadership	Project manager	Start of project