



**United Nations Development Programme**  
**Country: Kazakhstan**  
**Project Document**

**Project Title**

“Empowering civil society organizations to perform public oversight of governing institutions and promote interest of vulnerable groups”

**UNDAF Outcome(s):**

UNDAF Area 3: Effective Governance

**Expected CP Outcome(s):**

*(Those linked to the project and extracted from the CPAP)*

Outcome 7: Central and local governments operate in a more effective, transparent and accountable manner

**Expected Output(s):**

*(Those that will result from the project and extracted from the CPAP)*

Central government bodies enhance their capacity, including for promotion of regional cooperation

**Implementing Partner:**

Private Institution “Institute for Parliamentary Development”

**Responsible Parties:**

Public Foundation “Pavlodar Regional School of Governance”

**Brief Description**

With the aim to promote more accountable and transparent government institutions in Kazakhstan as well as to empower civil society on performing public oversight and promoting interest of vulnerable groups, the project will train local NGOs to participate in the country's new system of public administration assessment. Central governing bodies will have more partners among civil society organizations with increased capacities and knowledge on public administration assessment methodology to effectively and objectively evaluate performance of public bodies. Project will also conduct research of existing framework of governance performance evaluation in order to provide Government with practical recommendations to improve co-operation mechanisms with civil society. Information materials and practical handbooks on the assessment of public institutions will be elaborated to increase knowledge and capacity of governmental and non-governmental stakeholders.

The Project also contributes to better provision of government services by involving final beneficiaries (citizens) in evaluation of public services and government bodies' performance.

Programme Period:	2010-2015	YYYY AWP budget:	USD 81,855
Key Result Area (Strategic Plan):	Effective Governance	Total resources required	USD 81,855
Alias Award ID:	_____	Total allocated resources:	USD 81,855
Start date:	October 2011	Regular	_____
End Date	June 2012	Other:	_____
PAC Meeting Date	27 October 2011	o Finland	USD 81,855
Management Arrangements	NIM	o Donor	_____
		o Donor	_____
		o Government	_____
		In-kind Contributions	_____

Agreed by (Implementing Partner):

*[Signature]*

Agreed by UNDP:

*[Signature]* 11/9/11

# I. ANNUAL WORK PLAN

Year: 2011

EXPECTED OUTPUTS <i>And baseline, associated indicators and annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount
<p><b>Output 1.</b> Necessary framework for accountable governing institutions and effective involvement of civil society is established</p> <p><i>Baseline:</i> No regular training activities are held for NGOs on government assessment system; No tailored information resources are available</p> <p><i>Indicators:</i> 1) Number of trained NGOs on government assessment system; 2) Reference materials and methodology recommendations for NGO participation are developed.</p> <p><i>Targets:</i> Civil society organisations are equipped with knowledge and tools to provide evaluation of governing institutions' performance and services</p> <p><i>Related CP outcome:</i> Central</p>	<p>1. Participatory and inclusive mechanisms are promoted to the existing public administration assessment framework</p> <p>1.1. Review of assessment framework methodology</p> <p>1.2 Development of a set of recommendations</p>				X	Institute for Parliamentary Development	Finland	71400 Contractual services - individuals	USD 3,000
	<p>2. Capacity of local non-governmental organizations is enhanced to participate in evaluation of public offices and services</p> <p>2.1. Handbook and reference materials for NGOs to participate in governance assessment</p> <p>2.2. Regional training seminars for NGOs on evaluation of public services and institutions</p>				X	Institute for Parliamentary Development	Finland	71400 Contractual services – individuals 72100 Contractual services – companies 71600 Travel 72500 Supplies	USD 1,855 USD 4,000 USD 6,700 USD 2,700
	<p>3. Co-operation and dialogue between NGOs and local and central authorities is enhanced</p> <p>3.1. Development of web-discussion platform</p> <p>3.2. Facilitation of dialogue platforms between NGOs and central/local authorities on governance assessment issues</p>				X	Institute for Parliamentary Development	Finland	71400 Contractual services – individuals	USD 1,300

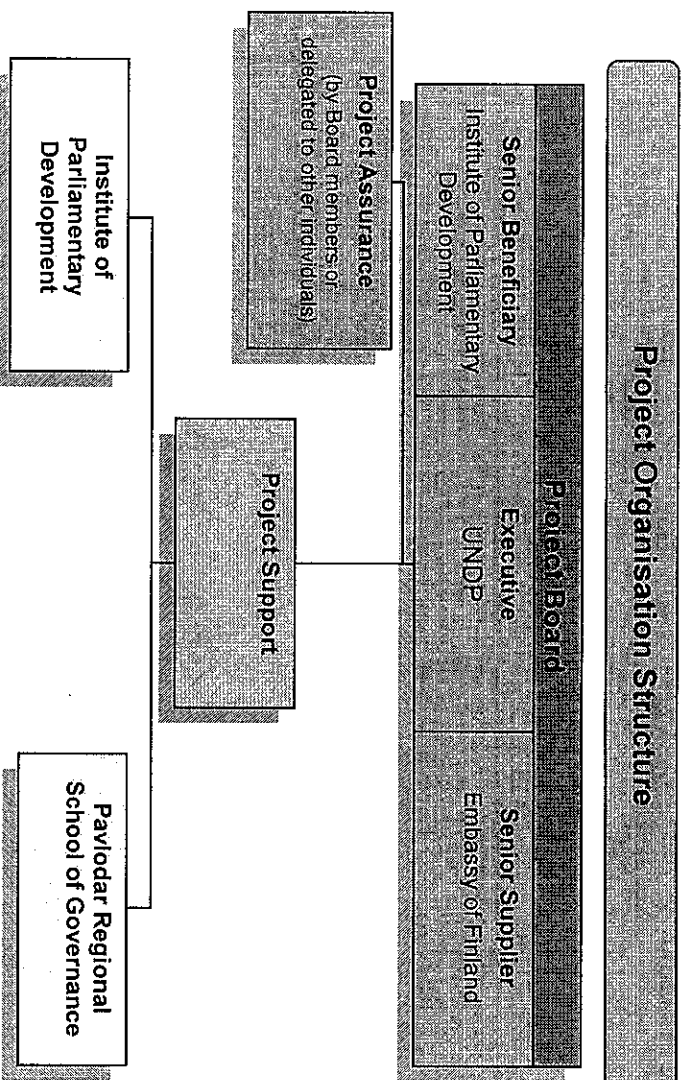
and local governments operate in a more effective, transparent and accountable manner	4. Effective project management				X	Institute for Parliamentary Development	Finland	71400 Project manager	USD 4,700
								71400 Project assistant	USD 1,300
								75100 Facilities and administration	USD 2,000
								74500 Sundry	USD 300
<b>TOTAL</b>								<b>USD 27,855</b>	

Year: 2012

EXPECTED OUTPUTS <i>And baseline, associated indicators and annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount
<p><b>Output 1. Necessary framework for accountable governing institutions and effective involvement of civil society is established</b></p> <p><i>Baseline:</i> No regular training activities are held for NGOs on government assessment system; No tailored information resources are available</p> <p><i>Indicators:</i> 1) Number of trained NGOs on government assessment system; 2)</p>	<p>1. Capacity of local non-governmental organizations is enhanced to participate in evaluation of public offices and services</p> <p>1.1. Regional training seminars for NGOs on evaluation of public services and institutions</p>				X	Institute for Parliamentary Development	Finland	71400 Contractual services – individuals	USD 6,700
								72100 Contractual services – companies	USD 7,700
								71600 Travel	USD 24,300
								72500 Supplies	USD 2,400
								74500 Miscellaneous	USD 1,000

<p>Reference materials and methodology recommendations for NGO participation are developed.</p> <p><i>Targets:</i> Civil society organisations are equipped with knowledge and tools to provide evaluation of governing institutions' performance and services</p> <p><i>Related CP outcome:</i> Central and local governments operate in a more effective, transparent and accountable manner</p>	2. Effective project management				X	Institute for Parliamentary Development	Finland	71400 Project manager	USD 5,000
								71400 Project assistant	USD 2,100
								75100 Facilities and administration	USD 3,800
								74500 Sundry	USD 1,000
<b>TOTAL</b>									<b>USD 54,000</b>

## II. MANAGEMENT ARRANGEMENTS



The project will be executed by the Institute of Parliamentary Development as Implementing partner in cooperation with Pavlodar Regional School of Governance as a Responsible Party. The Implementing partner is leading in project implementation and has ownership of project results. UNDP Kazakhstan will provide administrative support services, technical advice and assistance in monitoring and evaluation (in accordance with UNDP rules and procedures). UNDP will be also responsible for financial and programme reporting to the donor.

For effective implementation the project structure requires the following roles:

- Project Board;
- Project Assurance;
- Project Support.

**The Project Board** is responsible for making management decisions for the project and providing guidance to the Project Manager in case of significant deviations in the delivery of project outputs from established time and budget limits. During the running of the project the Project Board will meet at least twice a year to assess the project's progress against planned outputs, give strategic directions to the implementation of the project and identify any corrective action to be taken, and to assess how well the outputs were achieved. The Project Board will include the representatives of the Institute of Parliamentary Development, Pavlodar Regional School of Governance, the UNDP and donor representative (Embassy of Finland).

The role of **Project Assurance**, including project oversight and monitoring functions, is assumed by the Project Board, while UNDP Governance Team carries out daily project oversight and monitoring functions.

**Project Support** will sustain the Implementing Partners in project realization. The Implementing partner and Responsible Party will be responsible for day-to-day management of the project activities. The Project Support prime responsibility is to ensure that the project produces the outputs specified in the project document, to the required standard of quality and within the specified constraints of time and cost.



**Partnership Information:**

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### III. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

#### Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

#### Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.



### Quality Management for Project Activity Results

Replicate the table for each activity result of the AWP to provide information on monitoring actions based on quality criteria. To be completed during the process "Defining a Project" if the information is available. This table shall be further refined during the process "Initiating a Project".

<b>OUTPUT 1:</b> Necessary framework for accountable governing institutions and effective involvement of civil society is established		
<b>Activity Result 1 (Atlas Activity ID)</b>	Participatory and inclusive mechanisms are promoted to the existing public administration assessment framework	Start Date: October 2011 End Date: December 2011
<b>Purpose</b>	To raise government capacity in provision of legislative framework and methodological tools for civil society to participate in the assessment system	
<b>Description</b>	1) Review of assessment framework methodology 2) Develop set of recommendations for inclusive and participatory framework	
<b>Quality Criteria</b>	<b>Quality Method</b>	<b>Date of Assessment</b>
<i>how/with what indicators the quality of the activity result will be measured?</i>	<i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	<i>When will the assessment of quality be performed?</i>
Tools and channels to empower civil society organisations to participate in governance assessment system are identified	Analysis report	November 2011
Government is given practical advice to improve assessment framework to provide NGOs rooms for contribution	Set of recommendations to the assessment framework and methodology	December 2011
Assessment framework methodology and practice is improved for NGO participation	Number of recommendations implemented	June 2012

<b>OUTPUT 1:</b> Necessary framework for accountable governing institutions and effective involvement of civil society is established		
<b>Activity Result 2 (Atlas Activity ID)</b>	Capacity of local non-governmental organizations is enhanced to participate in evaluation of public offices and services	Start Date: October 2011 End Date: May 2012
<b>Purpose</b>	To empower civil society with knowledge and practical training to conduct evaluation of government performance	
<b>Description</b>	1) Handbook and reference materials for NGOs to participate in governance assessment are developed 2) Conduct 10 regional training seminars for NGOs on evaluation of public services and institutions	
<b>Quality Criteria</b>	<b>Quality Method</b>	<b>Date of Assessment</b>
<i>how/with what indicators the quality of the activity result will be measured?</i>	<i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	<i>When will the assessment of quality be performed?</i>
At least 100 civil society organisations around the country have basic knowledge on governance performance assessment	Training agenda, list of participants, feedback reports	May 2012
NGOs have access to reference materials and information related to public administration assessment system of the country	Number of Handbook copies distributed, web-sites uploaded with relevant information including the Handbook.	June 2012
Number of NGOs participating in the assessment system increased	Official registry of NGOs accepted to the evaluation of government bodies of 2012	June 2012

<b>OUTPUT 1:</b> Necessary framework for accountable governing institutions and effective involvement of civil society is established			
<b>Activity Result 3 (Atlas Activity ID)</b>	Co-operation and dialogue between NGOs and local and central authorities is enhanced		Start Date: October 2011 End Date: May 2012
<b>Purpose</b>	To promote closer co-operation of responsible state bodies and civil society structures in the assessment of governance performance and discussion of improvement measures		
<b>Description</b>	1) Development of web-discussion platform 2) Facilitation of dialogue platforms between NGOs and central/local authorities on governance assessment issues		
<b>Quality Criteria</b> <i>how/with what indicators the quality of the activity result will be measured?</i>	<b>Quality Method</b> <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	<b>Date of Assessment</b> <i>When will the assessment of quality be performed?</i>	
Tools for expression of recommendations and opinions of civil society institutions on the assessment system are available	Web-discussion platform is launched; number of visitors an registered users	June 2012	
NGOs and state bodies participate in the dialogue platforms	Number of meetings between state bodies and NGOs on the issue of public administration assessment facilitated by the project; agenda and list of participants of those meetings; resolutions	June 2012	

<b>OUTPUT 1:</b> Necessary framework for accountable governing institutions and effective involvement of civil society is established			
<b>Activity Result 3 (Atlas Activity ID)</b>	Effective project management		Start Date: October 2011 End Date: June 2012
<b>Purpose</b>	To achieve project goals and targets by effectively management and implementation		
<b>Description</b>	1) Establish Project organisation structure, including Project board 2) Held regular project board meetings 3) Ensure effective daily management of project, monitoring and risk management 4) Timely reporting on the project		
<b>Quality Criteria</b> <i>how/with what indicators the quality of the activity result will be measured?</i>	<b>Quality Method</b> <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	<b>Date of Assessment</b> <i>When will the assessment of quality be performed?</i>	
Project organisational structure, composition of Project board	Minutes and Reports of the Project Board meetings	January 2012 June 2012	
Risk log is updated and risks are managed properly	Risk log in Atlas	Regular	
Project is implemented in accordance with the work plan	Project Work plan, annual budgetary review; Financial and narrative reports	Quarterly, annual in June 2012	

## **IV. LEGAL CONTEXT**

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA [or other appropriate governing agreement] and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, 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.

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/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document".

## **ANNEXES**

### **Annex 1. Risk Analysis**

**Annex 2. Agreements:** 1) Project cooperation agreement between UNDP and the Institute for Parliamentary Development; 2) Project cooperation agreement between UNDP and Pavlodar Regional School of Governance

**Annex 3.** Project proposal submitted to the Embassy of Finland in Kazakhstan

## Annex 1. Risk Analysis

<b>Risk</b>	<b>Probability</b>	<b>Risk management actions</b>
1) Project recommendations on promoting participatory and inclusive framework of public administration assessment are not considered and up-taken by relevant state authorities	Medium	<ul style="list-style-type: none"> <li>- Recommendations will be drafted by the time of the next planned review of assessment methodology by government working group to increase the possibility of reflection</li> <li>- Existing co-operation structures of the Institute of Parliamentary Development and UNDP with the members of the Government working group on governance assessment issues will be used to promote project recommendations</li> </ul>
2) Local NGOs are not interested in participation in the public administration assessment system	Medium	<ul style="list-style-type: none"> <li>- Awareness raising activities to explain benefits of participation in evaluation of public services and performance</li> <li>- Promotion of discussion platforms with relevant state parties to ensure feedback and support</li> </ul>
3) Collision with similar research and training activities by other donors/organizations in the field	Low	<ul style="list-style-type: none"> <li>- Regular monitoring of activities in the field of governance, coordination of activities with other key stakeholders and members of the Government working group</li> </ul>
4) Lack of coordination and management in project implementation	Low	<ul style="list-style-type: none"> <li>- Regular project management board meetings</li> <li>- Detailed annual work plan is developed and followed</li> </ul>