



PROJECT DOCUMENT  
[UNDP Kazakhstan]

**Project Title:** Assistance in improving the system of public administration in the Republic of Kazakhstan  
**Project Number:** 00106784  
**Implementing Partner:** Ministry of National Economy of the Republic of Kazakhstan  
**Responsible Partner:** UNDP in Kazakhstan  
**Start Date:** March 2018  
**End Date:** June 2020  
**PAC Meeting date:**

**Brief Description**

The Government of Kazakhstan according to its strategic vision - the "Kazakhstan 2050" strategy – prioritises development initiatives that expand people’s choices and capabilities. In this context, further enhancement of good governance is an important priority, as the country progresses through its current phase of development. An integral goal, among other, is to improve the effectiveness and efficiency of public administration at the central and local levels by redistributing state functions among different levels of governments. This task is congruent with the Government policy on decentralisation of power and reallocation of government functions across different levels of public administration in the country.

Consequently, the Ministry of National Economy of the Republic of Kazakhstan seeks to examine the functions performed at the oblast level of public administration to consider its options in effectively redistributing functions among different levels of local government (oblast, rayon, and rural district and/or to the central administration. Therefore, the Ministry - in partnership with UNDP Kazakhstan - plans to implement a 2-year project, which will: [i] conduct functional reviews of oblast level public administration to ensure optimal allocation of government functions across different levels of public administration; as well as to determine optimal staffing levels to perform assigned functions and structures; provide methodological recommendations on optimization of a number of civil servants while redistributing of powers and transferring state functions to quasi-private and private sector; [ii] create a comprehensive register of government functions; and [iii] undertake a readiness analysis of the quasi-private and private sectors to perform state functions, which could be potentially transferred to them from state agencies and ministry departments.

Contributing Outcome (UNDAF/CPD):

**Outcome 2.2: Judicial and legal systems, and public institutions, are fair, accountable and accessible to all people.**

Indicative Output(s):

**Output 3. National and sub-national level institutions enabled to deliver quality and responsive public services.**

**Total resources required (in USD):**

1,000,000

**Total resources allocated (USD):**

**UNDP TRAC:** 100,000

**Government of Kazakhstan:** 900,000

Agreed by (signatures):

Government	UNDP
Aibatyr Zhumagulov, Vice-Minister of National Economy of the Republic of Kazakhstan	Norimasa Shimomura, UNDP Resident Representative in the Republic of Kazakhstan
Date:	Date: 13 July 2018

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## I. DEVELOPMENT CHALLENGE

Decentralisation has been a component of the political discourse in the Republic of Kazakhstan, since its independence. Lately, the Government has launched initiatives aimed at large-scale reform of the local governance system, essentially invigorating the decentralisation process. As a result, two important legislative initiatives have been introduced. First, a Presidential Decree (No 898, 25.08.2014) that initiated the transfer of numerous functions performed by the central government administration to lower levels of government. This led to the adoption of Law (No 239-V, 29.09.2014) “*On Amendments and Additions to Some Legislative Acts of the Republic of Kazakhstan on the Issues of Delineation of Powers between Levels of Public Administration*” that resulted to the transfer of 1,606 functions from the Government to the Ministries and 14 functions from the oblast to the rayon level. The second initiative was the Law (No 90-VI, 11.07.2017) on the “*Introduction of Revisions and Additions in Legal Acts in Demarcation of Authority between Bodies of State Government*”. This law aspires to eliminate areas of overlap and potential conflicts in the performance and execution of functions between different levels of government with the aim to enhance their efficiency and effectiveness.

Following completion of a functional review of 10 Ministries in 2017, the Ministry of National Economy wishes to pursue a similar exercise focusing on the functions performed at the oblast level. While doing this, it also expects to assess optimal staffing levels in effectively and efficiently performing the functions assigned to this level of government, as well as determine what the optimal structure of the oblast administration may be. Additionally, due to the absence of a comprehensive listing of government functions, the Ministry wishes to develop a register – the Register of Functions of State Bodies - that will systematically record all functions, which are currently dispersed in 280 legislative acts and almost 4,000 by-laws of the Republic of Kazakhstan.

Furthermore, in line with the 97<sup>th</sup> step of the “*Nation Plan – 100 Concrete Steps*”, the Ministry wants to undertake a readiness analysis of the quasi-private and private sectors to assess whether they could perform such functions that may potentially be transferred away from state agencies and ministry departments. Sixty such functions have already been identified and they could be transferred fairly soon, if the readiness analysis would indicate that the prerequisites and conditions exist for such transfer of designated functions to take place.

In sum, this project aspires to further enable national and sub-national institutions to eventually perform their functions in a more responsive manner, by assigning functions to the most appropriate level of government; ultimately contributing to the on-going decentralization process. It also aims at further improving the overall system of public administration in order to eventually reach its ultimate goal, that is to establish a compact and accountable government.

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## II. STRATEGY

Achieving the goals of sustainable development will require the development of tools and approaches to address such governance issues as performing government functions and delivering public services effectively. Kazakhstan has launched large-scale initiatives to further develop the system and management of its government structures, both at the national and local levels. In this context, Kazakhstan seeks to employ rational methods for redistributing state functions between levels of government in order to ensure prompt responses to the needs of the country’s population, improve business processes and determine the most appropriate administrative structures, which are staffed optimally to accomplish all that.

Generally speaking, thousands of functions are performed by the central, regional and local government administration in the Republic of Kazakhstan. Thus, it is considered important to first develop a comprehensive list of all government functions. This is hoped to be achieved through the creation of a register of functions – the so called “Register of Functions of the State Bodies” – by listing all existing functions in a systematic manner that currently can only be found dispersed in numerous laws and by-laws of the Republic.

Similarly, it is important to analyse which functions are performed at each level of government, and then by utilising an appropriate methodology to determine which government level is the most appropriate for performing the respective functions. Obviously, this task will assist in clearly and optimally delineate the responsibilities of each government level – in this instance, at the oblast level. Successful completion of this task will also allow to determine the number and type of human resources needed for the oblast level administration to adequately perform all tasks assigned to them by the state.

Moreover, this analysis will allow for the identification of functions, which could be potentially transferred away from the state administration to quasi-private or private entities, providing that such entities possess the capacity to perform such functions. For this reason, the project includes an activity that would assess the readiness of such organisations to take on the performance of state functions.

This project will build upon the experience gained through other similar projects that have been successfully implemented to date. For example, the analysis of approximately 4,000 functions of 10 ministries and the recommendations subsequently provided regarding the potential redistribution of various functions between different levels of government. This project was implemented in the latter part of 2017 and completed in December of the same year.

If successful, this reform will ensure the development of sustainable territorial management in Kazakhstan and an improvement in the standards of living due to the existence of improved governance structures and greater transparency and accountability in the management of public affairs. Thus, this project provides an excellent opportunity to further streamline public administration in the country. Moreover, in combination with other development initiatives, for example, decentralization of the budget function and the potential for local government to generate their own revenues, this approach will also contribute to the expansion of the independence of local executive bodies. As a result, such initiatives will also contribute to the advancement of political and administrative decentralization in the country.

In sum, this governance-related reform project is a top priority for the Ministry of National Economy, and by extension for the Government of Kazakhstan. In this respect, it seems that strong political dynamic for such reform exists. Therefore, UNDP will pay particular attention to engaging sufficiently expert personnel to oversee, coordinate and implement this project aiming to meet the envisioned goal, i.e. to improve the system of public administration and the quality of public service provision.

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### **III. RESULTS AND PARTNERSHIPS**

#### ***Expected Results***

- An analysis of functions performed by the oblast government administration with the view to optimally allocate functions to a level of government deemed as the most appropriate to perform such functions.
- An analysis of staffing needs of the oblast government administration to effectively perform functions assigned to this level of government.
- Recommendations on the optimal structure of an oblast government administration, as well as on its optimal staffing levels in order to effectively fulfil its mission.
- A register of state functions, which will contain a comprehensive list of all government functions, at the central, regional and local levels; along with the number of personnel currently involved in the execution of each state function, as well as the cost of performing state functions.
- A readiness analysis of the quasi-private and private sector organisations to assess their capacity to perform a predetermined number of state functions (currently 56 functions); accompanied by a set of recommendations for potential transfer of such functions to the most appropriate entities.

The first three expected results are related to a functional and BPR analysis of the oblast level government administration. They will provide the necessary information for the rationalisation of functions distribution, the optimal number of civil servants needed to perform such functions effectively, as well as for the optimal structure of the oblast government administration to adequately perform its functions in an efficient manner. The fourth result will enable the Ministry to have at its disposal a comprehensive inventory of all state functions in place, which may also be regularly updated. And the fifth result will allow the Ministry to determine which state functions could be eventually transferred to entities in the quasi-private or the private sectors.

### ***Resources Required to Achieve the Expected Results***

The project will require substantive input by the UNDP Governance Unit senior personnel, in addition to inputs by a senior international consultant, if and when required. It will also involve the inputs of a project manager and a project assistant, who will be directly and continually involved with the project implementation and monitoring substantive progress.

Quality of outputs will also be ensured by UNDP through its Resource Monitoring and Evaluation and Governance Units respectively. Together, they will monitor and continually assess the substantive quality of each output vis-à-vis the results framework of the project, as well as the terms of reference for each outsourced activity.

UNDP will procure the services of a professional and specialised business consultancy firm (or firms) to perform a major part of the substantive work involved in accomplishing the expected results of the project. Ministry of National Economy personnel, as well as personnel of the oblasts' administration, will also be involved with potential contractors with the aim to facilitate and speed up their work.

### ***Partnerships***

UNDP will partner with various institutions and involve several stakeholders in the implementation of this initiative. At the national level, the Ministry of National Economy will be a key partner. At the local level, UNDP will partner with akimats of the fourteen oblasts and the cities of Astana and Almaty.

It is expected that the project management team will work closely with the key officials of the Ministry for the proper and timely implementation of this initiative, as well as with representatives of any of the sixteen territorial administrative units that will be part of the functional review process. The expected project results will provide the basis for the Ministry of National Economy to ensure that oblast government administration performs its assigned functions in an effective and efficient manner.

### ***Risks and Assumptions***

The development issues involved in this project are complex, but manageable. They involve a functional review of oblast government administration along with an analysis of their organisational structures and staffing levels. They also involve the creation of a comprehensive inventory of state functions and an assessment of whether some state functions could be transferred away to other structures outside the government administration. However, the complexity of the tasks assigned, when combined with the requirement for their implementation in a relatively short time, involve a number of risks that may affect the achievement of comprehensive results. Thus, UNDP will pay particular attention to ensuring the efficient and timely implementation of the project. The same, of course, will be required from the Implementing Partner, the Ministry of National Economy.

Nevertheless, UNDP has the necessary experience and expertise at both the core and operating level to meet the needs of the planned project and make optimal use of the initial resources to achieve the expected results in a timely manner and in accordance with certain standards. Furthermore, it seems that the political dynamics for implementing such a reform exists, which will provide additional and necessary stimulus and impetus for its effective completion in accordance with the deadlines. In any case, the success of its implementation also depends on the readiness of other government units, i.e.

oblast administrations to take appropriate actions and readily provide assistance to complete the envisioned work load. Lack of timely coordination of actions of oblast administrations and the project team can pose a risk for obtaining results at the desired level. However, the Ministry of National Economy has committed to facilitate this process in order to ensure that satisfactory results are obtained through this project.

Successful implementation of this project will reaffirm UNDP's competitive advantage, as its previous experience indicates. For instance, UNDP recently completed a pilot project related to the redistribution of functions at the central level. This proved to be an advantage for UNDP in undertaking the current project.

### ***Stakeholder Engagement***

The key interested party to this project is the Ministry of National Economy eager to assess the capacities of oblast government administrations to perform their assigned functions effectively and efficiently. It is also eager to develop a comprehensive register of functions. Oblast level government administration officials are also stakeholders of this project, as it is their functions, organisational structures and staffing composition that will be assessed.

### ***Knowledge***

Conclusions and recommendations, as well as methodological guidelines that will result from the activities of this project may be publishable. Furthermore, the Ministry of National Economy, in cooperation with the UNDP Astana Civil Service Hub, may organise workshops through which such information may be disseminated to other interested parties, as well as to a wider audience of academics and practitioners in the area of public administration reform, both from Kazakhstan and other countries of the region.

### ***Sustainability***

National ownership of the results will be ensured by the continuous and direct involvement of the beneficiary organisations in the process of obtaining the expected results. Critical to sustainability of the expected results will be the willingness of the implementing partner and beneficiaries to implement the recommendations that will be eventually provided.

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## **IV. PROJECT MANAGEMENT**

### ***Cost Efficiency and Effectiveness***

The project implementation mechanism has been conceived and designed in such a way as to deliver the maximum possible results against the available financial resources throughout the duration of the project.

### ***Project Management***

The project management team will operate out of the United Nations common premises in Astana, Kazakhstan. The project will also require operational support, i.e. OHRM, procurement, financial, administrative and programme support, which will be provided by the respective UNDP units.

## V. RESULTS FRAMEWORK

### Intended Outcome as stated in the UNDAF/Country Programme Results and Resource Framework:

Strengthened and innovative public institutions: public institutions are fair, accountable, and accessible to all people.

### Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:

Enabling environment for expansion of decent livelihoods in the policy, legal, regulatory and institutional framework;  
National and sub-national governments have improved capacities to plan, budget, manage and monitor basic services;  
Inclusive economic development strategies and plans in place;  
UNDP recognised as a development partner of choice and a valued partner to the Government

### Applicable Output from the UNDP Strategic Plan:

1.2.1: Capacities at national and sub-national levels strengthened to promote inclusive development

### Project title and Atlas Project Number:

Assistance in improving the system of public administration in the Republic of Kazakhstan - project number: 00106784

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	Year 2018 (Jul-Dec)	Year 2019 (Jan-Dec)	Year 2020 (Jan-Dec)	
Output 1.1 <i>Functional review of oblast level government administrations</i>	1.1.1 Report of all functions performed by oblast government administration and a set of recommendations on what level of government is most appropriate to perform such functions	International literature and practices in functional analysis	No tested methodology exists	2018	Methodology tested and implemented; utilised for functions assessment in 3 oblast level administrations	Methodology utilised for functions assessment in 7 oblast level administrations	Methodology utilised for functions assessment in 6 oblast level administrations	International practices in developing methodology for functional analysis. Risks: [i] outdated or incomplete legal documents; [ii] not sufficient and/or accurate information provided by oblast administrations
	1.1.2 Report of staffing needs at oblast government administration level to effectively perform functions taking into account gender-related issues; Methodological recommendations on standardisation of optimal staffing for performing specific functions	International literature and practices in functional analysis / BPR	No such analysis exists	2018	Methodology tested and implemented; utilised for staffing needs assessment in 3 oblast level administrations	Methodology utilised for staffing needs assessment in 7 oblast level administrations	Methodology utilised for staffing needs assessment in 6 oblast level administrations	International practices in developing methodology for determining staffing needs. Risks: [i] resistance to cooperate at the oblast administration level; [ii] not sufficient and/or accurate information provided by oblast administrations

	1.1.3 Recommendations on optimal organisational structures of oblast level administrations	International literature and practices in functional analysis / BPR	No such analysis exists	2018	Organisational structure recommendations provided for 3 oblast level administrations	Organisational structure recommendations provided for 7 oblast level administrations	Organisational structure recommendations provided for 6 oblast level administrations	International and local practices in determining organisational structures of oblast level government administrations. Risks: [i] resistance to cooperate at the oblast administration level; [ii] not sufficient and/or accurate information provided by oblast administrations
<b>Output 1.2</b> <i>Comprehensive register of state functions in place</i>	1.2.1 Inventory of state functions prepared containing all relevant information	Laws and by-laws of the Republic of Kazakhstan; other relevant legislative acts; Personnel records by rank and specialisation and current duties; Personnel compensation records	No such inventory exists	2018	Substantial part of the Register is compiled	The Register is fully completed (with its further automatization); Number of personnel engaged in performing each function is accounted for by function; Cost of performing a function calculated		Systematic analysis of legislation, including laws and by-laws containing description of state functions; systematic analysis of all personnel records to assess involvement in performing functions, by function. Systematic analysis of personnel compensation records. Risks: [i] inadequate analysis of relevant legislation leading to not accounting for some existing functions; [ii] insufficient availability of information to determine personnel numbers engaged in performing a function; [iii] insufficient availability of information to determine the cost of performing a function.
<b>Output 1.3</b> <i>Readiness analysis of quasi-private and private sector to perform state functions</i>	1.3.1 Set of recommendations for transfer of state functions to quasi-private and private sector entities that possess adequate capacity to take on performance of functions to be transferred	International literature and practices in performance of various functions	No such analysis has been done to date	2018	Analysis of functions proposed for transfer away from the state sector (56 functions reviewed)	Analysis of functions proposed for transfer away from the state sector (new set of functions reviewed)		Environmental scanning to identify organisations that may be capable and/or qualified to take over performance of functions; Analysis of functions that could be transferred away from the state administration

## 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:

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (USD)
Track results progress	Assessment of project implementation progress in achieving the agreed outputs against the results indicators (see results framework table); ROAR quarterly reports.	In the frequency outlined for each indicator in the results framework / quarterly.	Work closely with contractors to assess whether the results of the envisioned activities match the beneficiary's expectations. Slower than expected progress will be addressed by the project management team.	UNDP / MNE	5,070
Monitor and Manage Risk	Updated Risk Log in Atlas and off-line risk log. Specific risks are identified in the risk log and suggested mitigating measures provided (see annex 3). Discussion of risks with CO Management and the partners, if any considerable risk arises.	Every six months in the first year; Yearly thereafter	Risks are identified by project management team and actions are taken to manage each risk. The risk log is actively maintained and updated to keep track of identified risks and actions taken.	UNDP	-
Learn	Knowledge and good practices contained in the activities' reports will be captured and encapsulated in policy briefs / assessment reports for selective dissemination.	Annually or on completion of a full activity	Preparation of policy briefs / assessment reports. Relevant lessons are captured by the project team and used to inform management decisions.	UNDP	3,380
Annual Project Quality Assurance	Annual quality assurance exercise.	Annually	Performance data, risks, lessons learnt, and output quality will be discussed by the project board and used to make modifications, if needed.	UNDP / MNE	-
Review and Make Course Corrections	It will be done through collection and analysis of evidence indicating project implementation progress. Development of corrective measures will follow, if required, to achieve the project results.	Every six months in the first year; Yearly thereafter	Performance data, risks, lessons learnt, and quality will be discussed by the project board and used to make course corrections.	UNDP / MNE	-



<p><b>Project Progress Report</b></p>	<p>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 log with mitigation measures; and, any evaluation or review reports prepared over the period.</p>	<p>Following completion of each major component; and at the end of the project (final report)</p>	<p>Consideration and approval of project progress reports by the Project Board.</p>	<p>Project Board</p>	
<p><b>Project Review (Project Board)</b></p>	<p>The project's governance mechanism (i.e., 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 shall hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.</p>	<p>Following completion of each major component; and at the end of the project (final report)</p>	<p>Any quality concerns or slower than expected progress should be discussed by the project board and management actions be agreed to address the issues identified.</p>	<p>Project Board</p>	

**VII. MULTI-YEAR WORK PLAN**

<b>BUDGET SUMMARY (USD)</b>								
<b>EXPECTED OUTPUT</b>	<b>PLANNED ACTIVITIES</b>	<b>RESPONSIBLE PARTY</b>	<b>PLANNED BUDGET BY YEAR</b>				<b>Total</b>	
			<b>Funding Source</b>	<b>Budget Description</b>	<b>2018</b>	<b>2019</b>		<b>2020</b>
<b>Output 1: Functional review of oblast level government administrations</b>	1.1 Review all functions performed by oblast level administrations; prepare recommendations on which functions should remain and which should be transferred to another level of government administration	UNDP MNE RK	Republican budget	72100 Contractual services	137,905.56	156,094.44	84,200.00	378,200.00
	1.2 Review staffing levels of oblast level administrations and determine optimal numbers to effectively perform functions assigned; prepare methodological recommendations of optimal staffing levels in performing specific functions		74500 Miscellaneous	150.00	150.00	150.00	450.00	
	1.3 Review organisational structures of oblast level administrations and provide recommendations for optimisation taking into account the functions these administrations perform		71600 Travel	3,000.00	0.00	0.00	3,000.00	
	<b>Total for Output 1</b>			<b>152,340.00</b>	<b>168,744.00</b>	<b>91,098.00</b>	<b>412,182.00</b>	
<b>Output 2:</b>	2.1 Methodology developed	UNDP	Republican	72100	210,000.00	110,000.00	0.00	320,000.00

Comprehensive register of state functions in place	MNE RK		budget	Contractual services				
	2.2 Preparation of state functions inventory	2.3 Calculation of the number of personnel involved in performing functions, by function						
	2.4 Cost estimation of performing a function, by function							
	2.5 Collection of relevant information from state laws and by-laws to feed into the register							
	<b>Total for Output 2</b>							
Output 3: Readiness analysis of quasi-private and private sectors to perform state functions	3.1 Readiness analysis implementation and development of recommendations for which organisations possess the capacity to take on state functions	UNDP	Republican budget	71300 National Consultants	7,000.00	0.00	0.00	7,000.00
		UNDP	UNDP	71300 National Consultants	10,000.00	0.00	0.00	10,000.00
		Republican budget	Republican budget	74500 Miscellaneous	50.00	0.00	0.00	50.00
				75100 GMS (8%)	564.00	0.00	0.00	564.00
	<b>Total for Output 3</b>				<b>17,614.00</b>	<b>0.00</b>	<b>0.00</b>	<b>17,614.00</b>
<b>TOTAL OUTPUTS 1, 2, 3</b>					<b>431,476.00</b>	<b>287,706.00</b>	<b>91,098.00</b>	<b>810,280.00</b>
Output 4: Project Management, Operations and Support	4.1 Effective Project Management	UNDP	UNDP	71400 Project Manager	15,500.00	0.00	17,000.00	32,500.00
		Republican budget	Republican budget	71400 Project Manager	0.00	34,000.00	0.00	34,000.00

UNDP	71400 Project Assistant	12,750.00	16,000.00	8,000.00	36,750.00
	71200 International Consultants	4,600.00	0.00	0.00	4,600.00
	73100 Rent and office maintenance	4,650.00	2,800.00	900.00	8,350.00
Republican budget	73100 Rent and office maintenance	0.00	6,500.00	4,850.00	11,350.00
UNDP	72500 Supplies (stationery, office supplies)	500.00	300.00	100.00	900.00
Republican budget	64397 DPC (Programme)	9,500.00	19,000.00	9,400.00	37,900.00
	64397 DPC (Operations)	5,650.00	1,500.00	1,500.00	8,650.00
UNDP	74200 Translation services	1,000.00	200.00	0.00	1,200.00
	71600 Travel	2,000.00	1,700.00	2,000.00	5,700.00
Republican budget	74500 Miscellaneous	150.00	200.00	83.33	433.33
	75100 GMS (8%)	1,224.00	4,896.00	1,266.67	7,386.67



## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will be jointly governed by the Ministry of National Economy and the UNDP Governance Unit. Expected outputs and outcomes will be jointly agreed at regular intervals during the implementation period of the project. Ministry and UNDP representatives will meet monthly for the first six months of the project implementation period and then bi-monthly to assess progress made, as well as results achieved, and provide recommendations for corrective action, if needed.

The senior beneficiary of this Project will be the Ministry of National Economy, which plans to formulate policy recommendations for the consideration of the Government, that will, in turn, prepare and promote appropriate legislation in due course to achieve the goals of its policies in these domains.

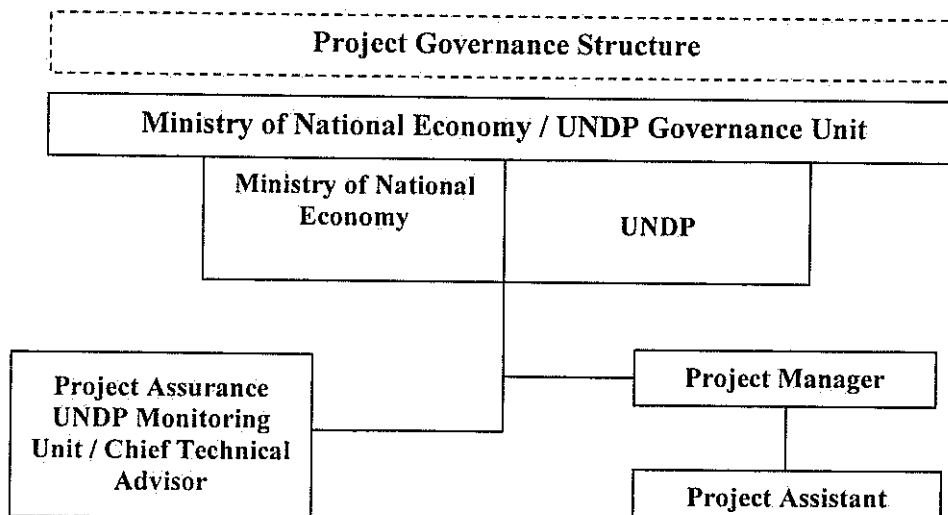
UNDP will assume the role of the coordinator of project implementation. As this project entails activities which are of high priority for the Government, it will also ensure that the best available professional expertise will be engaged to produce the substantive work required by the project in achieving its expected results.

UNDP will hire a project manager to oversee and coordinate the day-to-day work involved in this project, as well as a project assistant to help with the day-to-day work involved in implementing the project in a timely and efficient manner.

Furthermore, UNDP will take the lead in procuring specialised services provided by professional firms in the fields of functional analysis and organisational management to deliver high-quality results.

Last, but not least, UNDP will engage its project assurance mechanism and/or occasionally engage an international consultant to monitor progress and evaluate results at regular intervals during the project implementation period, to ensure that good and robust results are produced upon completion of the envisioned activities.

It is critical that all actors involved develop good lines of communication to resolve issues that may come up during the implementation of the project and hinder its timely completion, especially with respect to tight deadlines for some activities, imposed by the Beneficiary. In this context, the project manager will play a vital role in resolving issues, confronting and mitigating risks and liaising with the beneficiary and other stakeholders in moving forward as smoothly as possible with the project implementation.



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## IX. LEGAL CONTEXT AND RISK MANAGEMENT

### LEGAL CONTEXT STANDARD CLAUSES

Kazakhstan has signed a Standard Basic Assistance Agreement (SBAA) with UNDP. Thus, this project document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Government of Kazakhstan and UNDP, signed on October 4, 1994. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

### RISK MANAGEMENT STANDARD CLAUSES

#### Option a. Government Entity (NIM)

1. Consistent with the Article III of the SBAA [*for the Supplemental Provisions*], 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. To this end, the Implementing Partner shall:
  - a) put in place an appropriate security plan and maintain the security plan, considering 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.
2. 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 the Implementing Partner’s obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner]<sup>1</sup>.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no 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/aa\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aa_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered under/further to this Project Document.
4. 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>).
5. 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.
6. 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.

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<sup>1</sup> Use bracketed text only when IP is an NGO/IGO

## X. ANNEXES

### 1. Project Quality Assurance Report (Design and Appraisal stage)

Project title:	Assistance in improving the system of public administration in the Republic of Kazakhstan	
Project number:	00106784	
<b>A. Strategic – Quality Rating:</b>		
1	Does the project's theory of change specify how it will contribute to higher level change?	The project has a theory of change with some explicit assumptions describing how the project will contribute to outcome level change as specified in the CPD, backed by some evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach now. (3)
	Evidence	The project responds to the following areas of development: sustainable development pathways; enabling environment for expansion of decent livelihoods in the policy, legal, regulatory and institutional framework; and national and sub-national governments have improved capacities to perform their functions in an effective and efficient manner.
	Management response	
2	Is the project aligned with the thematic focus of the UNDP Strategic Plan?	The project responds to one of the three areas of development work as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator. (2)
	Evidence	The project contributes to strengthened and innovative public institutions: public institutions are fair, accountable, and accessible to all people. Capacities of government at national and sub-national levels strengthened to promote inclusive development is the most relevant SP output indicator for this project.
	Management response	
3	Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups / geographic areas with a priority focus on the excluded and marginalised?	The target groups / geographic areas are not specified, or do not prioritise excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups / geographic areas throughout the project. (1)
	Evidence	The project deals primarily with an assessment of government functions and processes at the oblast level administration, as well as with an analysis to determine optimal organisational structures and staffing levels. It also deals with the creation of a comprehensive inventory of government functions. Thus, strategies to effectively identify and engage targeted groups of the population are a priori not relevant.
	Management response	
4	Have knowledge, good practices, and past lessons learnt of UNDP and others informed the project	The project design mentions knowledge and lessons learnt backed by evidence / sources, which inform the project's theory of change but have not been adequately used to justify the approach selected over alternatives. (2)



	design?	
	Evidence	This project is partly a scaled-up initiative of a similar project – re-allocation of functions analysis in 10 government ministries – that was completed in December 2017. Its results and recommendations, as well as the lessons learnt in implementing this initiative, have been taken into consideration while designing the current project.
	Management response	
5	Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women?	The project design may or may not mention information and/or data on the differential impact of the project’s development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered. (1)
	Evidence	As this project focuses on functional analysis and the scope of state-funded organisations does not encompass a gender dimension, rendering this quality indicator somewhat irrelevant in this case.
	Management response	
6	Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors?	An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project’s intended results. (3)
	Evidence	UNDP is the partner of choice for the government. Prior work of UNDP in this development area is considered an additional advantage.
	Management response	
<b>B. Relevance – Quality Rating:</b>		
7	Are project objectives and expected results consistent with national needs and priorities?	Yes, they are fully consistent with national needs and priorities. (3)
	Evidence	Its objectives are consistent with national priorities. Its expected results are consistent with national needs, considering the on-going decentralization process.
	Management response	
<b>C. Social and environmental standards – Quality Rating:</b>		
8	Does the project seek to further the realisation of human rights using a human rights based approach?	No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered. (1)
	Evidence	Not applicable
	Management response	
9	Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach?	No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered. (1)
	Evidence	Not applicable

	Management response	
10	Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?	Yes
	Evidence	Not applicable
	Management response	
<b>D. Management and Monitoring – Quality Rating:</b>		
11	Does the project have a strong results framework?	The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (3)
	Evidence	Outputs and activities are at the appropriate level. Outputs are accompanied by specific results-oriented indicators (see also RRF).
	Management response	
12	Is there a comprehensive and costed M&E plan with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?	Yes
	Evidence	The project implementation is in line with the M&E plan of the project document (see section VI of the project document). M&E will be reviewed and regularly updated within the Atlas project management module. Systematic reporting on the project results will be conducted regularly (as specified in the plan). The results will be reflected in the annual progress reports.
	Management response	
13	Is the project's governance mechanism clearly defined in the project document including planned composition of the Project Board?	The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project manager and the quality assurance roles. (2)
	Evidence	The governance mechanism is defined at the level of the project partners, i.e. UNDP GU and MNE. However, individuals have not yet been specified. The Project Board will monitor and analyse the project implementation process and its outputs and will provide recommendations on the most effective implementation strategy to ensure that the project results are achieved. Important responsibilities of the Project Board are included in the Project Document (see section 4.1 in annex 4).

	Management response	
14	Have the project risks been identified with clear plans stated to manage and mitigate each risk?	Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. (2)
	Evidence	Project risks are identified, and suggested mitigation measures provided in annex III of this project document.
	Management response	
15	Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design?	Yes.
	Evidence	Cost of activities has been estimated based on market data. Project management team membership has been kept to essential personnel only.
	Management response	
16	Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results?	Not at this point in time, although this project's results may prove useful when the decentralisation project commences its implementation.
	Evidence	Not applicable
	Management response	
17	Is the budget justified and supported with valid estimates?	The project budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. (2)
	Evidence	The project budget is justifiable and valid. The budget is broken down to activity level and funding sources are identified. Costs are estimated based on a recent market survey (see also section VII – multi-year work plan). Resources are distributed efficiently. The size and scope of the project is consistent with resources available and planned to be mobilised.
	Management response	
18	Is the Country Office fully recovering the costs involved with project implementation?	The budget fully covers all direct project costs that are directly attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.). (3)
	Evidence	The budget fully covers all DPC and other costs in accordance with prevailing UNDP policies (see also section VII – multi-year work plan and budget).
	Management response	
<b>E. Effective – Quality Rating:</b>		
19	Is the chosen	The required assessments have not been conducted, but there

	implementation modality most appropriate?	may be evidence that options for implementation modalities have been considered. (1)
	Evidence	This is a NEX project, thus its operational modality was determined a priori. It is a modality that is utilised widely in implementing such projects.
	Management response	
20	Have targeted groups, prioritising marginalised and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?	Not applicable
	Evidence	-
	Management response	
21	Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning, timed to inform course correction if needed during project implementation?	Yes
	Evidence	Yes, the project governance mechanism is assigned to monitor implementation progress of activities frequently. Every six months for the first year of implementation and annually thereafter. The Resource Monitoring and Evaluation Unit will also monitor progress annually. The Project Board has the authority to take corrective action if needed.
	Management response	
22	The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.	Yes
	Evidence	-
	Management response	
23	Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time within allotted resources?	The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources. (3)
	Evidence	The project has a realistic work plan and budget prepared (see section VI – multi-year work plan and budget for details).
	Management response	
<b>F. Sustainability and National Ownership – Quality Rating:</b>		
24	Have national partners led,	National partners have full ownership of the project and led the

	or proactively engaged in, the design of the project?	process of the development of the project jointly with UNDP. (3)
	Evidence	The national partners are fully engaged into the decision making and monitoring of the project through their active participation in the project board, working consultations and assessment of the work plans. The initial terms of reference for this project were prepared by the Ministry of National Economy, keen to proceed with its implementation in partnership with the UNDP Country Office. UNDP provides the support in project operations and oversight activities as indicated in the LoA between UNDP and the implementing partner as set out in the project document.
	Management response	
25	Are key institutions and systems identified, and is there a strategy for strengthening specific / comprehensive capacities based on capacity assessments conducted?	The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection and adjust the strategy to strengthen national capacities accordingly. (3).
	Evidence	The project falls within the strategic priorities of UNDP in Kazakhstan, outlined in the current CPD, including the approach to monitor regularly national capacities using pre-defined and clear indicators.
	Management response	
26	Is there a clear strategy embedded in the project specifying how the project will use national systems, i.e. procurement, monitoring, evaluations, etc to the extent possible?	Yes
	Evidence	Operationally the project will adhere to UNDP modalities with respect to procurement, monitoring and evaluation. This is in full agreement with the beneficiary,
	Management response	
27	Is there a clear transition arrangement / phase-out plan developed with key stakeholders to sustain or scale up results (including resource mobilisation strategy)?	Yes
	Evidence	It has explicitly been discussed with the beneficiary that completion of this project will culminate to others, which will delve into more specific capacity development activities and know-how transfer.
	Management response	

## 2. Social and Environmental Screening Template

<i>Project Information</i>	
1. Project Title	Assistance in improving the system of public administration in the Republic of Kazakhstan
2. Project Number	00106784
3. Location	Kazakhstan

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

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

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

N/A

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

Functional reviews will improve workloads and processes of the oblast government administration, thus creating a more conducive and attractive environment for women to work within. Furthermore, when the factor and point scale system for compensation is tested and fully implemented, will also add to women's empowerments as they will be recipients of higher compensation.

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

Functional reviews and BPR will allow for further automation, and thus reduction of paper loads, as well as reduction in the physical visits to the oblast administration offices by citizens, thus contributing to environmental sustainability.

**Part B. Identifying and Managing Social and Environmental Risks**

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b>  <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></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b>  <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p><b>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)?</b></p>	
<p><b>Risk Description</b></p>	<p><b>Impact and Probability (1-5)</b></p>	<p><b>Significance (Low, Moderate, High)</b></p>	<p><b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESIA is required note that the assessment should consider all potential impacts and risks.</b></p>
Risk 1: ....	I = P =		
Risk 2: ....	I = P =		
Risk 3: ....	I = P =		
Risk 4: ....	I = P =		
[add additional rows as needed]			
<p><b>QUESTION 4: What is the overall Project risk categorization?</b></p>			
<p>Select one (see <u>SESP</u> for guidance)</p>			<p><b>Comments</b></p>
<p>Low Risk <input checked="" type="checkbox"/></p>			
<p>Moderate Risk <input type="checkbox"/></p>			
<p>High Risk <input type="checkbox"/></p>			

<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>		<b>Comments</b>
Check all that apply		
<i>Principle 1: Human Rights</i>	<input type="checkbox"/>	
<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input checked="" type="checkbox"/>	
<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	
<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
<i>3. Community Health, Safety and Working Conditions</i>	<input checked="" type="checkbox"/>	
<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	

**Final Sign Off**

<i>Signature</i>	<i>Date</i>	<i>Description</i>
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.



### 3. Risk Analysis

<b>Project Title:</b> Assistance in improving the system of public administration in the Republic of Kazakhstan		<b>Award ID:</b> 00105596	<b>Date:</b> March 2, 2018
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#	Type	Description	Date Identified	Probability <sup>2</sup> & Impact <sup>3</sup>	Countermeasures / Management response	Owner	Submitted / updated by	Last Update	Status
1	Environmental	No environmental risks identified	-	-	-	-	-	-	-
2	Financial	Project possesses sufficient funds to implement all activities	Mar 2018	Functions reallocation review will cover all fourteen oblasts and two cities P = 1 / I = 5	UNDP will work closely with the Ministry of National Economy to secure the funds for the third year activities	UNDP GU Head	UNDP GU Head / Project Manager	-	-
3	Operational / Organizational	Some activities need to be completed in a short period of time	Mar 2018	Beneficiary's requirement to complete activities under output 2 in a rather short period of time may hinder the quality of expected results P = 2 / I = 4	UNDP and the MNE will facilitate access to information by the specialised firm, which will undertake implementation of this task to ensure high quality of results	UNDP GU Head	UNDP GU Head / Project Manager	-	-
		Selection of most appropriate project management personnel	Mar 2018	Off target selection and recruitment of the most experienced and suitable project management personnel may hinder execution capacity P = 2 / I = 4	UNDP will ensure that it is very selective in recruiting experienced project management personnel	UNDP GU Head	UNDP GU Head	-	-
		Selection of most experienced	Mar 2018	Off target selection and engagement of most	UNDP will use precise and detailed evaluation	UNDP GU Head	UNDP GU Head	-	-

<sup>2</sup> Probability scale: 1 (low) to 5 (high).

<sup>3</sup> Impact scale: 1 (low) to 5 (high).

	consultancy firms to carry out major activities		suitable consultancy firms may influence the quality of the outputs and results P = 1 / I = 4	criteria in selecting the most experienced consultancy firm				
4	Political Frequent turnover of key decision making personnel	Mar 2018	Change in key beneficiary personnel may hinder timely progress of activities P = 3 / I = 3	Engage mid-level beneficiary personnel to ensure continuation	UNDP GU Head	UNDP GU Head / Project Manager	-	-
5	Regulatory Project results may not lead to legislative initiatives Other responsible government units may not cooperate in a timely fashion	Mar 2018	Recommendations culminating from findings may not progress in the legislative process P = 2 / I = 2 Oblast governments may not provide required information in a responsive and timely manner P = 2 / I = 4	Work closely with the Government to highlight benefits of legislating findings and recommendations Work closely with the MNE and oblast administrations to secure all necessary information	UNDP GU Head / MNE decision makers	UNDP GU Head	-	-
6	Strategic UNDP as partner of choice for future development issues	Mar 2018	If UNDP does not manage to produce the expected results may diminish its partner of choice status P = 1 / I = 5	Focus on producing the best possible results	UNDP GU Head	UNDP GU Head	-	-
7	Security No security risks identified	-	-	-	-	-	-	-

#### **4. Project Board Terms of Reference and of key management positions**

##### **4.1. Project Board Terms of Reference**

###### ***Overall Responsibilities***

To ensure UNDP's ultimate accountability, a Project Board (PB) is established with the ultimate responsibility for making sure that the project remains on course to deliver the desired results. The Board is responsible for making management decisions for the project consensually: [i] at designated decision point during the implementation of the project, in line with the specific responsibilities below; [ii] when guidance is required by the Project Manager; and [iii] when project tolerances – normally in terms of budget and time – have been exceeded.

The PB reviews and approves the annual work plans (AWP) and authorises any major deviation from these plans. It ensures that the required resources are available, arbitrates on any conflicts within the project and negotiates a solution to any problems between the project and the external bodies involved. In addition, it approves the appointment and responsibilities of the Project Manager. It may also decide to delegate its Project Assurance responsibilities to a designated staff member of UNDP and/or of the Implementing Partner.

###### ***Composition and organization***

The Senior Beneficiary – the Ministry of National Economy – heads the Project Board and is ultimately responsible for the project. The Ministry's appointed representative has to ensure that the project remains focused on achieving its objectives and is cost-effective by conducting regular reviews with respect to project implementation progress and results achieved.

The Implementing Agent – the UNDP Kazakhstan Governance Unit – is ultimately responsible for providing guidance regarding the technical feasibility of the project. The UNDP's appointed representative is accountable for the quality of the resources provided to implement the project, as well as for ensuring that all activities are carried out in accordance with UNDP rule, regulations and processes.

###### ***Specific responsibilities***

When the project is initiated the Project Board should:

- Agree on the Project Manager's responsibilities, as well as the responsibilities of the Project Associate;
- Delegate any project assurance functions as appropriate;
- Review and appraise the detailed project plans and annual work plans, including the risk log and the monitoring plan;

During the implementation of the project:

- Provide overall guidance and direction to the project;
- Decisions by consensus are essential to reflect the dual accountability of the Government and UNDP in accordance with applicable regulations, rules, policies and procedures;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible management actions to address specific risks;
- Agree on Project Manager's tolerances within the AWP;
- Conduct regular meetings to review the project progress report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Review Combined Delivery Reports (CDR) prior to certification by the implementing partner;
- Appraise the project annual review report, make recommendations for the next AWP;
- Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded;

- Assess and decide on project changes through revisions.

When the project is being closed:

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation if it is required;
- Notify operational completion of the project to the Outcome Board.

#### *Meetings of the Project Board*

- On a quarterly basis to review and approve the regular project reports;
- At any other time a meeting is requested by one of its members, the Project Manager or the Project Assurance because guidance is required, tolerances have been exceeded, or a particular issue or risk requires the intervention of the Project Board.

#### *Project Assurance*

Project Assurance is the responsibility of the UNDP Resource Monitoring and Evaluation Unit. The following list includes the key elements that need to be checked for assurance purposes throughout the project.

- Maintenance of thorough liaison throughout the project between the members of the Project Board;
- Beneficiary needs and expectations are being met or managed;
- Risks are being controlled;
- Adherence to the Project Justification (Business Case);
- Projects fit with the overall Country Programme;
- The right people are being involved;
- An acceptable solution is being developed;
- The project remains viable;
- The scope of the project is not “creeping upwards” unnoticed;
- Internal and external communications are working;
- Applicable UNDP rules and regulations are being observed;
- Any legislative constraints are being observed;
- Adherence to monitoring and reporting requirements and standards;
- Specific responsibilities of the assurance function.

During the implementation of the project:

- Ensure that funds are made available to the project;
- Ensure that project outputs definitions and activity definition including description and quality criteria have been properly recorded in the Atlas Project Management module to facilitate monitoring and reporting;
- Ensure that risks and issues are properly managed, and that the logs in Atlas are regularly updated;
- Ensure that critical project information is monitored and updated in Atlas, using the Activity Quality log in particular;
- Ensure that Project Quarterly Progress Reports are prepared and submitted on time, and according to standards in terms of format and content quality;
- Ensure that CDRs and FACE are prepared and submitted to the Project Board and Outcome Board;
- Perform oversight activities, such as periodic monitoring visits and “spot checks”.
- Ensure that the Project Data Quality Dashboard remains “green”.

When the project is being closed:

- Ensure that the project is operationally closed in Atlas;

- Ensure that all financial transactions are in Atlas based on final accounting of expenditures;
- Ensure that project accounts are closed, and status set in Atlas accordingly.