

Project Document

**Project Title: Advancing Anti-Corruption Efforts in
Thailand – A multifaceted Approach (AAA)**

**United Nations Development Programme
(2015-2016)**

Cover Page

Country: Thailand

UNPAF Outcome(s)/Indicator(s):

- National legislation, policies and justice administration comply with international human rights norm and standard

Expected Outcome(s)/Indicator (s):

- The government administration is more efficient through public procurement reform efforts and societal culture of zero-tolerance towards corruption is enhanced.

Expected Output(s)/Annual Targets:

- Output 1: Relevant support provided to the Royal Thai Government in its efforts to reform and modernise the public procurement
- Output 2: The TYAC Network expanded and strengthened to become a platform to give youth a voice and ways to exercise their citizenship and promote civic education
- Output 3: Integrity education developed and incorporated into university teachings and curricula

Implementing partner: United Nations Development Programme

Responsible parties: The Comptroller General's Department, True Coffee, Universities, Integrity Action

Brief description

Corruption has negative political, economic and social consequences. Politically, it lowers the quality of democracy and governmental performance and creates negative social capital. Economically, corruption impedes development and discourages investment. Socially, it promotes economic and psychological inequality and spreads parochial and particularised, exclusive trust.

Fighting corruption requires a multifaceted approach and strong contributions of the government, businesses, civil society and citizens. This AAA project is, thus, an attempt to combine a number of initiatives that contain the following key elements:

- Mitigating corruption risks in public procurement to enhance transparency and openness;
- Instilling norms and values, such as integrity, democracy and transparency, through youth empowerment and incorporating integrity education into teachings and curricula; and
- Engaging the private sector, youth, and civil society through social entrepreneurship and social innovations in the fight against corruption.

In line with UNDP's new Strategic Plan (SP) 2014-2017, this new, innovative approach will support UNDP Thailand's role in strengthening links between the government, private sector, citizens, youths and other development actors to keep the momentum in the fight against corruption.

The AAA project proposes a multi-faceted framework with strong contributions of the government, businesses, youth and citizens to implement the following activities and expected outputs:

Output 1: Relevant support provided to the Royal Thai Government in its efforts to reform and modernise the public procurement

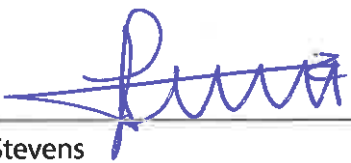
- Output 1.1: A comprehensive review of legal infrastructure and development of additional guidance to support effective implementation of the new Public Procurement Law (PPL)
- Output 1.2: A strategy and roadmap for building an efficient institutional structure for public procurement under the new PPL

- Output 1.3: A national public procurement training and professionalisation strategy
- Output 2: The Thai Youth Anti-Corruption Network expanded and strengthened to become a platform to give youth a voice and ways to exercise their citizenship and promote civic education
- Output 2.1: Social enterprise “Refuse To Be Corrupt” cafés and student clubs are launched and serve as an active community for students to fight corruption
 - Output 2.2: Thai Youth Anti-Corruption Network’s constituency expanded
- Output 3: Integrity education developed and incorporated into university teachings and curricula

With expected financial contributions from the UNDP Global Anti-Corruption Initiative, UK’s Foreign Commonwealth Office’s Prosperity Fund, True Coffee, and other public and private sector actors, the project will be implemented by UNDP through a direct implementation modality (DIM) with the Comptroller General’s Department, Ministry of Finance, Khon Kaen University, Ubon Ratchathani University, the Office of Public Sector Development Commission, the Anti-Corruption Organisation of Thailand, and the National Anti-Corruption Commission as cooperating agencies.

<p>CPAP Programme Period: <u>2012-2016</u></p> <p>Programme Component: <u>CPAP</u></p> <p>Project Title: Advancing Anti-Corruption Efforts – A multifaceted Approach (AAA)</p> <p>Project ID: 00088557, Output ID: 00095167</p> <p>Project Duration: 24 Months</p> <p>Management Arrangement: <u>DIM</u></p>	<p>Total Budget: USD 350,000</p> <p>Allocated resources: USD 207,000</p> <ul style="list-style-type: none"> • Government • Regular USD 87,000 • Other: FCO USD 120,000 • In kind contributions: True Coffee, KKU, UBU
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Agreed by the United Nations Development Programme:


 Luc Stevens
 UNDP Resident Representative

25/05/2015
 Date:

ACRONYMS

AAA	Advancing Anti-Corruption Efforts in Thailand – a Multifaceted Approach
ACT	Anti-Corruption Organisation of Thailand
AWP	Annual Work Plan
CGD	Comptroller General’s Department
COLA	College of Local Administration
DIM	Direct Implementation Modality
FCO	Foreign and Commonwealth Office
GDP	Gross Domestic Product
I-ACT	Integrity and Anti-Corruption Education Centre of Thailand
ICCS	International Civic and Citizenship Education Study
KKU	Khon Kane University
NACC	National Anti-Corruption Commission
OAI	Office of Audit Investigation
OECD	Organisation for Economic Co-operation and Development
OPDC	Office of Public Sector Development Commission
PACC	Public Sector Anti-Corruption Commission
PPL	Public Procurement Law
QPR	Quarterly Progress Report
RTG	Royal Thai Government
SP	Strategic Plan
TI	Transparency International
TYACN	Thai Youth Anti-Corruption Network
UBU	Ubon Ratchathani University
UNCAC	United Nations Convention against Corruption
UNDP	United Nations Development Programme
UNDP-CO	United Nations Development Programme – Country Office

I. SITUATIONAL ANALYSIS

Corruption has negative political, economic and social consequences. Politically, it lowers the quality of democracy and governmental performance and creates negative social capital. Economically, corruption impedes development and discourages investment. Socially, it promotes economic and psychological inequality and spreads parochial and particularised, exclusive trust.

The perception index of Transparency International (TI) Index 2013 shows that Thailand holds the 102th position among 177 countries. However, in the TI 2014 index the position of Thailand has improved to 85th, but the score has only improved from 35 to 38 out of 100. Other international governance and risk indicators demonstrate a similar gloomy picture on the integrity status despite the fact that the global competitiveness score is comparably good.

Fighting corruption requires a multifaceted approach and strong contributions of the government, businesses, civil society and citizens. This AAA project is, thus, an attempt to combine a number of initiatives that contain the following key elements:

- Mitigating corruption risks in public procurement to enhance transparency and openness;
- Instilling norms and values, such as integrity, democracy and transparency, through youth empowerment and incorporating integrity education into teachings and curricula; and
- Engaging the private sector, youth, and civil society through social entrepreneurship and social innovations in the fight against corruption.

In line with UNDP's new Strategic Plan (SP) 2014-2017, this new, innovative approach will support UNDP Thailand's role in strengthening links between the government, private sector, citizens, youths and other development actors to keep the momentum in the fight against corruption.

Mitigating corruption risks in public procurement to enhance transparency and openness

The extensive volume of business transactions that take place, involving private and public sector bodies, potentially offers great opportunities for irregularities and private gains. International statistics indicate that public procurement may represent more than 10-20% of GDP¹ (variations normally depend on the size of the public budget and the nature/size of the public sector) and, maybe, as much as 30% of the national budget is allocated for the acquisition of goods, services and works. It is absolutely vital to the credibility and efficiency of a public procurement system that it is free from corrupt and fraudulent practices. Regrettably, the presence of corruption is seen to be a real problem.

In Thailand, a recent survey indicated that 50% of the respondents admitted that they had to pay up to 10% and more in kick-backs for obtaining a public contract, a figure that had increased between 2001 and 2009². If this should be the correct picture for the public procurement market in whole, Thailand would suffer from excessive transaction costs and heavy quality losses in the delivery of public services. It must be emphasized also that corruption in the context of public procurement is very much a reflection of corruption within a given society more generally. Therefore, fighting corruption in public procurement can never be isolated from the overall effort for improved integrity in a society covering all aspects of public life.

¹ Integrity in Public Procurement. Good Practice from A to Z. OECD 2007

² Combating procurement conspiracies: some lessons from Thailand. Sirilaksana Khoman, 2011

UNDP, in 2014, conducted an integrity risk assessment in public procurement in Thailand building on internationally recognised methodologies from the UNDP and the World Bank. Accordingly four key important integrity risk areas were identified: i) bid collusion and bribery (kickbacks), ii) conflict of interest, iii) discretion, and iv) political interference. One of the main preventive infrastructure against these irregularities is to ensure a coherent legal and institutional public procurement framework. Currently, Thailand is soon to pass a new public procurement law to replace the current regulatory system that is based on government regulations. The current regulatory approach produces risks of fragmentation instead of coherence, weak enforceability and coverage, lack of legal certainty for the bidders, insufficient protection for procurement staff, and opportunities for unjustified exemptions and discretion.

To address these integrity risks and enhance transparency and openness in public procurement, Thailand needs i) a coherent, sound and modern public procurement law covering all public sector entities as well as other supporting legal infrastructure, ii) a public procurement agency or similar body to oversee the implementation of rules, policies and practices for procurement to which the new law applies, and iii) support for the professionalization and training strategy to strengthen capacity and credibility of the procurement profession.

Instilling norms and values, such as integrity, democracy and transparency, through youth empowerment and incorporating integrity education into teachings and curricula

Thai youth - the future workforce and citizens of this country - show a particularly high acceptance of corruption. Conducted in 2009, the International Civic and Citizenship Education Study (ICCS) shows that Thai students expressed the most favourable views among the five studied Asian countries for the following statements:

- It is acceptable to bribe government officials to get things done;
- It does not matter if a public official uses resource from his/her institution;
- Preventing corruption is adults' business, nothing to do with me.

Thai students' score in civic participation is more than 10 percentage points above ICCS average, but their civic knowledge is the fifth lowest and gender difference is the largest. Thailand urgently needs an improved and effective anti-corruption, civic and integrity education framework to change deep-seated societal patterns and structures in the country.

In response to these survey results, UNDP and Khon Kaen University's College of Local Administration (COLA), in 2012, held six anti-corruption youth "camps" with 90 participating universities across the country, leading to the formation of the Thai Youth Anti-Corruption Network (TYACN). The objective of these youth camps and TYACN is twofold: i) to educate and raise awareness of students about the dangers of corruption in Thai society and to promote responsible citizenship and civic knowledge, and, ii) to form "Refuse to be Corrupt" student clubs at campus level and an inter-university students' network as a platform for active participation and engagement in promoting integrity and preventing corruption.

To consolidate the platform created through this campaign, future activities will need to promote a more integrity-focused civic and citizenship education at Thai universities and schools delivered through extra-curricular activities, learning modules and syllabi to incorporate integrity-focused civic knowledge and promote a stronger national integrity system.

Engaging the private sector, youth, and civil society through social entrepreneurship and social innovations in the fight against corruption

The Thai Youth Anti-Corruption Network has successfully depoliticized corruption issues and addresses them as value-based subjects with a specific focus on civic and integrity education. The Anti-Corruption and Youth campaign of UNDP is a strong initiative which addresses an urgent social problem and has formed a solid and expanding youth network in Thailand. However to achieve sustainable results and lasting impact, this initiative will try to increase the momentum to further strengthen youth empowerment and civic education in the country.

To this end, the advocacy of anti-corruption values needs to become part of the daily life of students through various activities. As a focal point for such advocacy activities the TYACN has developed the idea of a 'Refuse To Be Corrupt' café, a social enterprise which will be managed by the Network groups at university levels. The first of these cafes is currently being set up under a partnership with True Coffee and will be opened at Khon Kaen University and Ubon Ratchathani University.

The "Refuse To Be Corrupt" café will give youth a space, a command centre for the young people to sit down and discuss issues, share their views among their peers, and organize events and map out their plans to tackle corruption. The profit of the cafe will go directly to support their anti-corruption activities as well as providing small grants for social innovations to fight corruption. This cafe is all about action. As the brand gains greater recognition, we will branch out to more universities around the country.

II. STRATEGY

Fighting corruption requires a comprehensive national strategy with inclusion of the following factors:

1. Political Will – without unwavering determination to overcome corrupt systems, no anti-corruption strategy will work.
2. Effective anti-corruption Acts/laws;
3. Effective and capacitated anti-corruption agency (independent with effective enforcement)
4. Effective Adjudication (non-corrupt, independent judiciary);
5. Efficient government administration with decent remuneration for civil servants, reducing opportunities for bribery, "facilitation payment", and corruption; and
6. Societal culture of zero-tolerance towards corruption among citizens and youth, particularly through effective integrity and anti-corruption education.

Given the mandate of UNDP, the AAA project is focusing on promoting an efficient government administration through the public procurement reform and societal culture of zero-tolerance towards corruption through youth empowerment. This is also in line with the United Nations Convention against Corruption (UNCAC) which Thailand became a signatory of on 9 December 2003 and which was ratified on 1 March 2011. The project will work not only with key public agencies – such as the National Anti-Corruption Commission (NACC) and the Public Sector Anti-Corruption Commission (PACC), but also other stakeholders in the private sector and civil society who are active in their efforts to fight corruption. These include such actors as the private-sector-led Anti-Corruption Organisation of Thailand (ACT), the Institute of Directors, as well as academics, research institutes, and news and media organisations.

Through its work on youth anti-corruption, UNDP has gained broad recognition in this area, which led to establishment of a new partnership with ACT and recently an opportunity to work with the Office of the Public Sector Development Commission (OPDC) and Comptroller General's Department (CGD),

Ministry of Finance in assessing and mitigating integrity risks in public procurement. To help sustain UNDP's efforts in promoting integrity and anti-corruption values among Thai youth, partnerships with True Coffee and Khon Kaen University and Ubon Ratchathani University have also been established to pilot the "Refuse To Be Corrupt" social enterprise café.

In line with UNDP's new Strategic Plan (SP) 2014-2017 and building on these initial results and successes, the AAA project will bring together key, relevant partners to improve efficiency, transparency, and accountability in government administration through a reform initiative in public procurement and Integrity education to promote culture of zero-tolerance towards corruption among citizens, particularly the youth.

In this context, the AAA project proposes a multi-faceted framework with strong contributions of the government, businesses, youth and citizens to implement the following expected outputs:

Output 1: Relevant support provided to the Royal Thai Government in its efforts to reform and modernise the public procurement

- Output 1.1: A comprehensive review of legal infrastructure and development of additional guidance to support effective implementation of the new Public Procurement Law (PPL)
- Output 1.2: A strategy and roadmap for building an efficient institutional structure for public procurement under the new PPL
- Output 1.3: A national public procurement training and professionalisation strategy

Output 2: The TYAC Network expanded and strengthened to become a platform to give youth a voice and ways to exercise their citizenship and promote civic education

- Output 2.1: Social enterprise "Refuse To Be Corrupt" cafés and student clubs are launched and serve as an active community for students to fight corruption
- Output 2.2: TYAC Network's constituency expanded

Output 3: Integrity education developed and incorporated into university teachings and curricula

With expected financial contributions from the UNDP Global Anti-Corruption Initiative, UK's Foreign Commonwealth Office's Prosperity Fund, True Coffee, and other public and private sector actors, the project will be implemented by UNDP through a direct implementation modality (DIM) with the Comptroller General's Department, Ministry of Finance, Khon Kaen University, Ubon Ratchathani University, the Office of Public Sector Development Commission, the Anti-Corruption Organisation of Thailand, and the National Anti-Corruption Commission as cooperating agencies. In order to deliver a quality service to the RTG, UNDP will collaborate with regional and international experts and institutions such as the OECD, World Bank, Integrity Action, and Transparency International. Similarly, capacity building of the national counterparts will be conducted through training workshops and hands-on participation in selected pilot interventions which will be done throughout the lifecycle of the project in order to ensure sustainability.

III. RESULTS AND RESOURCES FRAMEWORK

<p>Expected Outcome: The government administration is more efficient through public procurement reform efforts and societal culture of zero-tolerance towards corruption is enhanced.</p>			
<p>Outcome indicators:</p> <ol style="list-style-type: none"> Adoption of a sound and modern public procurement law with supporting infrastructure, guidance, supporting tools as well as appropriate institutions in place Number of universities incorporated integrity education in their teachings and curricula 			
<p>Partnership strategy: With expected financial contributions from the UNDP Global Anti-Corruption Initiative, UK's Foreign Commonwealth Office's Prosperity Fund, True Coffee, and other public and private sector actors, the project will be implemented by UNDP through a direct implementation modality (DIM) with the Comptroller General's Department, Ministry of Finance, Khon Kaen University, Ubon Ratchathani University, the Office of Public Sector Development Commission, the Anti-Corruption Organisation of Thailand, and the National Anti-Corruption Commission as cooperating agencies. In order to deliver a quality service to the RTG, UNDP will collaborate with regional and international experts and institutions such as the OECD, World Bank, Integrity Action, and Transparency International.</p>			
<p>Project Title and ID (ATLAS Award ID):</p>			
<p>Output and baseline indicators</p>		<p>Indicative Activities</p>	
<p>Output 1: Relevant support provided to the Royal Thai Government in its efforts to reform and modernise the public procurement</p> <p>Output 1.1 Baseline: No supporting legal infrastructure to implement the new public procurement law</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of general provisions, secondary/tertiary provisions, existing/related laws reviewed Number of implementation guidelines, operational guidance documents developed 		<p>Output targets</p> <p>Output 1.1: A comprehensive review of legal infrastructure and development of additional guidance to support effective implementation of the new Public Procurement Law (PPL)</p> <p><u>Targets</u></p> <ul style="list-style-type: none"> Review of relevant general provisions, secondary/tertiary provisions, existing/related laws completed Legal implementation guidelines, operational guidance documents and model documentation drafted 	
<p>Responsible parties/partners</p>		<p>Inputs (USD)</p>	
<p>UNDP, CGD</p>		<p>99,000</p>	

<p>Output 1.2</p> <p><u>Baseline:</u> No clear strategy and roadmap for building an efficient institutional structure for the new Public Procurement Law (PPL)</p> <p><u>Indicator:</u></p> <ul style="list-style-type: none"> Number of public officials and private sector actors engaged in consultative forums, consultations, validation workshop 		<p>operational guidance documents, and model documentation</p> <p>Activity 1.1.5: Organise a workshop to validate findings and recommendations</p> <p>Activity 1.1.6: Finalise the report and recommendations</p>		
<p>Output 1.2: A strategy and roadmap for building an efficient institutional structure for public procurement under the new PPL</p>				
<p><u>Targets</u></p> <ul style="list-style-type: none"> A strategy and roadmap for building an efficient institutional structure for the new Public Procurement Law (PPL) developed and adopted by the RTG 160 public officials and private sector actors engaged in consultative forums, consultations, validation workshop 		<p>Activity 1.2.1: Review institutional mandates and functions under the new PPL</p> <p>Activity 1.2.2: Engage and consult key stakeholders to clarify understanding and expectations</p> <p>Activity 1.2.3: Design an efficient institutional structure for public procurement under the new PPL</p> <p>Activity 1.2.4: Conduct a capacity assessment including determining capacity needs and capacity development priorities and response</p> <p>Activity 1.2.5: Develop a strategy and roadmap for building of an efficient institutional structure for public procurement under the new PPL</p>	<p>UNDP, CGD</p>	<p>70,000</p>
<p>Output 1.3</p>				
<p><u>Baseline:</u> No national public procurement training and professionalisation strategy</p> <p><u>Indicator:</u></p> <p>Number of public officials engaged in public procurement capacity assessment</p>	<p><u>Targets</u></p> <ul style="list-style-type: none"> A national public procurement training and professionalisation strategy developed and adopted 100 public officials engaged in 	<p>Output 1.3.1: Engage and consult key stakeholders to clarify objectives, roles, responsibilities, and expectations relating to professionalising public procurement</p>	<p>UNDP, CGD</p>	<p>31,000</p>

<p>public procurement capacity assessment</p>	<p>Activity: 1.3.2: Identify and develop competency framework, professional development and qualifications, and an outline for curriculum development</p> <p>Activity 1.3.3: Formulate a national public procurement training and professionalisation strategy</p>		
<p>Sub-total Output 1</p>		<p>200,000</p>	
<p>Output 2: The TYAC Network expanded and strengthened to become a platform to give youth a voice and ways to exercise their citizenship and promote civic education</p> <p>Output 2.1 Baseline: Youth platform/activities to fight corruption rely on external resources and are ad-hoc and lack continuity</p> <p>Indicators: Number of "Refuse To Be Corrupt" cafés established</p> <p>Number of students' anti-corruption activities funded by proceeds from "Refuse To Be Corrupt" café</p>	<p>Output 2.1: Social enterprise "Refuse To Be Corrupt" cafés and student clubs are launched and serve as an active community for students to fight corruption</p> <p>Targets:</p> <ul style="list-style-type: none"> • 2 "Refuse To Be Corrupt" cafés established • 30 students' anti-corruption activities funded by proceeds from "Refuse To Be Corrupt" café 	<p>Activity 2.1.1 Organise launch events for the two pilot cafés</p> <p>Activity 2.1.2 Provide training for the "Refuse To Be Corrupt" core teams</p> <p>Activity 2.1.3 Support production of café branded merchandises (t-shirts, mugs, tumblers, and bags) to promote identity of integrity and anti-corruption</p> <p>Activity 2.1.4 Develop and implement anti-corruption activities for the first two pilot cafés</p>	<p>UNDP, True Coffee, Ubon Ratchathani University, Khon Kaen University, Refuse To Be Corrupt student clubs, private sector actors, local governments, and CSOs</p>
<p>Output 2.2 Baseline: 4 active "Refuse To Be Corrupt" student clubs</p> <p>Indicator: No. of active "Refuse To Be Corrupt" student clubs</p>	<p>Output 2.2: TYAC Network's constituency expanded</p> <p>Target</p> <ul style="list-style-type: none"> • Additional 5 "Refuse To Be Corrupt" student clubs are active 	<p>Activity 2.2.1 Organise 3-5 anti-corruption camps to broaden the circles of supporters</p> <p>Activity 2.2.2 Promote and mobilise resources to establish more social enterprise "Refuse To Be Corrupt" cafés and student clubs in other universities</p>	<p>UNDP, Ubon Ratchathani University, Khon Kaen University, Refuse To Be Corrupt student clubs</p>

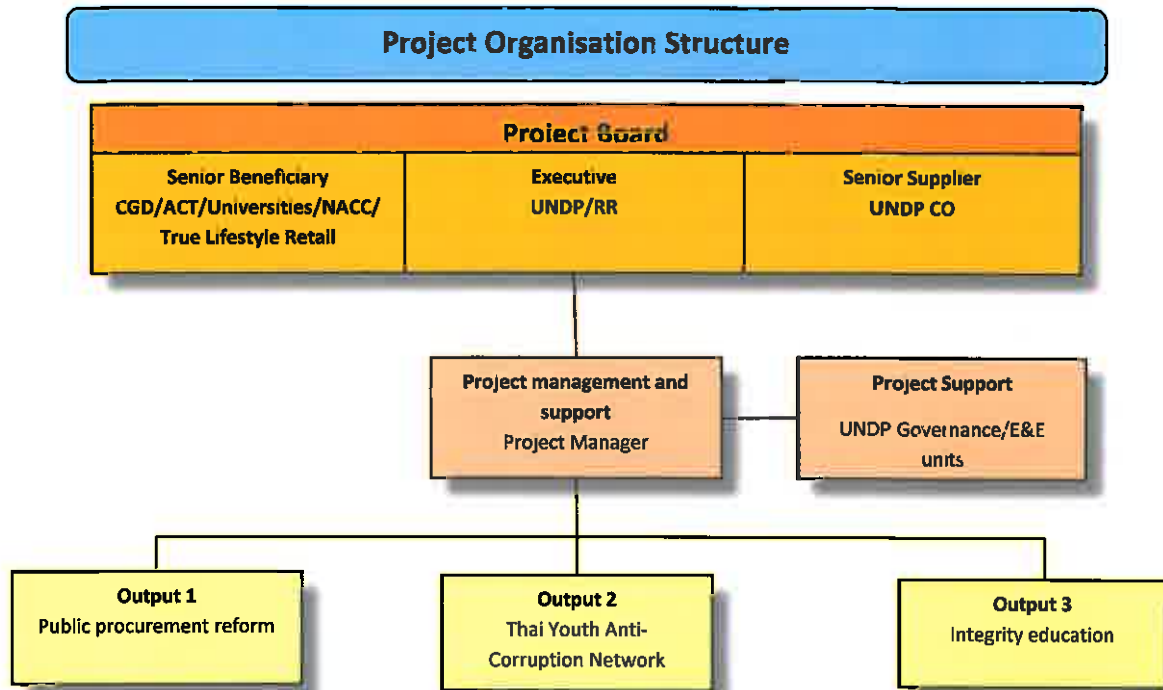
IV. ANNUAL WORK PLAN (2015-2016)

EXPECTED OUTPUTS	PLANNED ACTIVITIES	TIMEFRAME								RESPONSIBLE PARTY	PLANNED BUDGET				
		Q2 2015	Q3 2015	Q4 2015	Q1 2016	Q2 2016	Q3 2016	Q4 2016	Funding Source		Budget Description	Amount USD			
Output 1: The Thai public procurement is reformed and modernised with integrity and openness	Output 1.1: A comprehensive review of legal infrastructure and development of additional guidance to support effective implementation of the new Public Procurement Law (PPL)									UNDP, CGD	UNDP, FCO, donors				
	Activity 1.1.1: Organise a workshop to introduce the new PPL and international experiences in implementing PPL	X										Int' consultant	41,310		
	Activity 1.1.2: Conduct a review of general provisions, secondary/tertiary provisions, existing/related laws and policies	x	X										Nat' consultant	18,000	
	Activity 1.1.3: Conduct consultative forums and extensive consultations with key actors, including central government agencies, local governments, and state-owned enterprises					X							Travel	11,025	
													Workshops and meetings	7,800	
													Audio & printing	1,950	
													Translation	16,500	
													Misc.	2,415	
													UNDP=20,000 FCO=65,760		

	<p>Activity 1.1.4: Develop additional guidance including legal implementing guidelines, operational guidance documents, and model documentation</p> <p>Activity 1.1.5: Organise a workshop to validate findings and recommendations</p> <p>Activity 1.1.6: Finalise the report and recommendations</p>	x	X	x	x						To be mobilised= 13,240			99,000
Sub-total output 1.1														
Output 1.2: A strategy and roadmap for building of an efficient institutional structure for public procurement under the new PPL														
	<p>Activity 1.2.1: Review institutional mandates and functions under the new PPL</p> <p>Activity 1.2.2: Engage and consult key stakeholders to clarify understanding and expectations</p> <p>Activity 1.2.3: Design an efficient institutional structure for public procurement under the new PPL</p>	X	X	X	X						UNDP, FCO	Int' consultant	40,500	16,500
											UNDP=15,000	Travel	2,250	
											FCO=39,525	Workshops and meetings	3,300	
											To be mobilised= 15,474	Audio & printing	375	

	to establish an Integrity and Anti-Corruption Education Centre of Thailand (I-ACT)																		Misc.	3,000	
		Total output 3																		50,000	
Output 4: Project management costs																					
Direct Project Cost																					
Communications, Audit & Evaluations		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		UNDP/FCO	20,000
Administration		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		UNDP	5,000
		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		UNDP	5,000
		Total output 4																		30,000	
TOTAL																					350,000

V. MANAGEMENT ARRANGEMENTS



Project Board

The Project Board shall be comprised of UNDP as the Executive and Chair, represented by Resident Representative (or his/her designate). In addition, CGD, KKU, UBU, ACT, and NACC will be represented in the Project board as senior beneficiaries.

The Project Board provides overall leadership and oversight of the project and will meet twice per year (the timing and interval of the project board meeting shall be agreed at the first meeting of the project) to discuss progress, identify gaps, review and approve annual work plans, and resolve any major issues and other technicalities in the implementation of the project.

The Project Board will specifically be responsible for the following:

- Provision of strategic direction and policy guidance to the project management and support team
- Provision of leadership in engagement with strategic partners including the participation of line ministries and sectors as well as selection and participation of provinces
- Provide project implementation oversight through approval of annual work plans and budgets
- Review and advise on progress of project implementation
- Advise on UNDP's support to RTG
- Provision of fiduciary oversight, in line with UNDP financial rules and regulations
- Advocate with line ministries and sectors to adopt and replicate the best practices arising from the project implementation

Setting of priorities in the first meeting of the Project Board will be essential as it will review the composition and functions of the project board and its members, the timing and intervals of the project board meeting as well as discussion regarding sustainability of the project results.

Executive

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria.

Senior Suppliers

UNDP will hold the role of Senior Suppliers. The Senior Suppliers represents the interests of the parties which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Suppliers' primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier's roles must have the authority to commit or acquire supplier resources required.

Project Management and Support

As part of its function as an implementing partner, UNDP's designated officer will serve the Project Manager and secretary of the project board and will be responsible for the achievement of the project outputs and results and the production of identified deliverables. In the day to day management of the project, the project manager will coordinate with relevant stakeholders and shall be accountable to UNDP Resident Representative (or his/her designate).

Project Manager

The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

UNDP Supporting Services

The project management will be supported by UNDP programme and operations staff in Thailand CO and UNDP's Bangkok Regional Hub.

Audit arrangements

In accordance with established policies "an Implementing Partner is the institutional entity entrusted with and fully responsible and accountable for successfully managing and delivering UNDP project outputs". When a UNDP business unit directly implements a project, UNDP, "as executing agent/implementing partner, assumes overall management responsibility and accountability for project implementation."

If the management of a business unit that implements a DIM project, would commission the audit of that project, this could convey the perception that the same management that is accountable for managing the project also exercises some control over the audit of that project. To prevent any perception of conflict

of interest, all DIM audits are therefore conducted as internal audits by or on behalf of Office of Audit Investigations (OAI).

DIM audits will be primarily financial audits. In some instances, the DIM audit will also include an audit of internal controls and systems. The DIM audits may be conducted by OAI auditors or by audit firms engaged by and working on behalf of OAI. The cost of such audits shall be borne in full by the DIM projects audited

Communications

Communications and visibility activities will be undertaken during the project in order that the public and the international community are aware of the project and its impacts. Communications activities may include liaison with journalists, press releases, providing photos and testimonials for the UNDP website, and producing project factsheets.

VI. MONITORING FRAMEWORK AND EVALUATION

Project monitoring and evaluation will be conducted in accordance with established UNDP procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) in close consultation with the implementing partners. UNDP Country Office will also act as project assurance. The Logical Framework provides performance and impact indicators for project implementation along with their corresponding means of verification. These will form the basis on which the project's Monitoring and Evaluation system will be built

More specifically, 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 the Annual Work Plan and the Logical Framework.
- 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, 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 Quarterly Progress Reports (QPR) 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 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.

VII. LEGAL CONTEXT

The Royal Thai Government and the United Nations Special Funds have entered into the Agreement to govern assistance from the Special Fund to Thailand, which was signed by both parties on 04 June 1960. Pending the finalization of the Standard Basic Assistance Agreement (SBAA) between UNDP and the Government, the Agreement will govern the technical assistance provided by UNDP Thailand under the Country Programme Document (2012-2016).

Under the UNDP-funded programmes and projects, 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 in accordance with the aforementioned Agreement between the UN Special Fund and the Government of Thailand concerning Assistance from the Special Fund 1960.

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 Programme 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 Programme 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 Programme Document.

Annex 1: Risk Analysis

Project Title: Advancing Anti-Corruption Efforts in Thailand – A Multifaceted Approach (AAA)							Award ID:		Date:	
#	Description	Date Identified	Type	Impact & Probability*	Countermeasures/ Management Response	Owner	Submitted Updated by	Last Update	Status	
1	The new public procurement law is not passed by the National Assembly	21 April 2015	Political	The project implementation, particularly for the activities related to public procurement reform, will be disrupted. P = 1 I = 4	Close monitoring and timely adaptation of activities will help mitigate its impact.	Project assurance team	UNDP Programme manager	N/A	Baseline	
2	The "Refuse To Be Corrupt" social enterprise café is not profitable	21 April 2015	Operational	The social enterprise model will not be a viable option to ensure financial sustainability for the Thai Youth Anti-Corruption Network P = 2 I = 4	The Project will work with the Network on an effective communication and marketing plans to ensure good traffic and income generated.	Project Board, TYACN at KKU and UBU	UNDP Programme manager	N/A	Baseline	

* Probability (P) and impact (I) scales range from 1 (low) to 5 (high)

3	Lack of cooperation and buy-in from universities to incorporate integrity curriculum/education in teachings	21 April 2015	Operational	Developed curriculum and training of trainers will not get used or implemented P=2 I=3	Workshops to sensitise and provide sufficient support to educators and close follow-ups to ensure their commitments	Project Manager	UNDP Programme manager	N/A	Baseline
4	High expectations of beneficiaries	21 April 2015	Operational	Expectations from the beneficiary institution, the general public and the donor community from the project may exceed the actual capacity of the project. Quality changes in the public institutions to implement reform require time to take effect P=2 I=3	It is, therefore, essential that the Project Management to run a pro-active continuous reporting and advocacy strategy to manage clear expectations and that those outputs produced meet the needs of stakeholders	Project Manager	UNDP Programme manager	N/A	Baseline



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Resilient nations.*

Interoffice Memorandum

To: Mr. Luc Stevens
UN Resident Coordinator
UNDP Resident Representative

Date: 22 May 2015

Through: Mr. Martin Hart-Hensan
Deputy Resident Representative

Ref: Output ID: 00095167

From: Somchai Yensabai
Programme Specialist
Democratic Governance and Social Advocacy Unit (DGSA)

Cc: Mr. Kwanpadh Suddhi-Dhamakit, Programme Analyst, DGSA

Subject: Project Document "Advancing Anti-Corruption Efforts in Thailand – A Multifaceted Approach (AAA)" Project

I would like to submit the Project Document for the Advancing Anti-Corruption Efforts in Thailand – A Multifaceted Approach (AAA)" Project, for your signature. The project will be implemented under DIM modality, in which the authorisation has been granted from the Regional Bureau.

Thank you.

