**Project Title**: Thailand Policy Lab

**Project Number: 00144300**

**Implementing Partner: UNDP Thailand under the Direct Implementation Modality (DIM)**

**Start Date: 1 June 2022** **End Date:** **31 March 202** **LPAC Meeting date:** 3 June 2022

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| **Brief Description** |
| As an upper-middle-income country, Thailand has advanced far beyond having many of the more basic development challenges affecting other nations. However, several challenges remain. COVID-19 pandemic revealed weaknesses of some public policies and services delivery. It shows that the traditional approach for designing and formulation policy and delivering public services lacks agility and how both efficiency and effectiveness need to be further improved to tackle such challenges.To address complex development challenges in Thailand, UNDP and the Royal Thai Government through the Office of National Economic and Social Development Council (NESDC) has established the Thailand Policy Lab to introduce an innovative approach to policy-making and public service delivery in Thailand. The project aims to design and test policy process prototypes for developing innovative policy options and recommendations and connect and build capacities of various key stakeholders in Thailand both at the national and sub-national levels: government, academic, private sector, and citizen, to accelerate the impact of innovation in public policy and services in Thailand and exchange knowledge and experience with other countries in the Asia Pacific and beyond. In particular, the project is structured around three pillars: policy innovation exploration and experimentation, capacity building on policy innovation and establishing a learning community of innovators. |

Contributing Outcome (UNSDCF/CPD, RPD or GPD):

**Outcome 2**: Human capital needed for social and inclusive development is improved through strengthening of institutions, partnerships, and the empowerment of people

**Outcome 3**: People living in Thailand, especially those at risk of being left furthest behind, are able to participate in and benefit from development, free from all forms of discrimination

Indicative Output(s) with gender marker2:

**Output 2.1** Strengthened capacity of state and non-state actors to support Thailand’s digital transformation and innovation for improving access and delivery of quality services (GEN2)

**Output 3.1**: State and non-state actors engage in social dialogues and adopt practices that foster human rights and equality for a just and inclusive society (GEN2)

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| --- | --- |
| **Total resources required:** | 1,970,000 USD |
| **Total resources allocated:** |  |
| **UNDP TRAC:** |  |
| **Donor:** |  |
| **Government:** | 1,970,000 |
| **In-Kind:** | 1,970,000 |
| **Unfunded:** |  |

Agreed by (signatures)[[1]](#footnote-1):

|  |
| --- |
| UNDPPrint Name: |
| Date:  |

# Development Challenge (1/4 page – 2 pages recommended)

As an upper-middle-income country, Thailand has advanced far beyond having many of the more basic development challenges affecting other nations. Over the last four decades, Thailand has made remarkable progress in social and economic development, moving from a low-income to an upper middle-income country in less than a generation.[[2]](#footnote-2) As such, Thailand has been a widely cited development success story, with sustained strong growth and impressive poverty reduction. However, several challenges remain. Even in the areas that Thailand is well advanced and has become a role model for other countries, there is room for improvement. Stark inequality still remains. Benefits are not always equally distributed as part of this growth, and many, particularly vulnerable groups are often left behind. More recently, Thailand’s progress in poverty reduction has slowed since 2015 onwards, mirroring a slowing economy and stagnating farm, business, and wage incomes.[[3]](#footnote-3)And as expected, it is the most vulnerable groups who are at the front line of the impact – women, youth, the elderly, ethnic communities, stateless people, persons with disabilities, among other socially marginalised groups. These challenges can no longer be solved by conventional approaches and group of decision makers alone but they require innovation and wider participatory processes as alternative solutions. In terms of gender, while Thailand has made many efforts to integrate the international principles and instruments into legislation and policy, the Global Gender Gap Report 2021[[4]](#footnote-4) revealed that Thailand’s poor performance in political empowerment (i.e., percent of women in parliament, percent of women in ministerial positions) might affect the country's public policy decisions and service delivery. Even though Thai women have hold executive roles in public and private sectors, they are generally still underrepresented, especially in the parliament, government, judiciary and administration both at national and local levels. There is a lack of policy to promote economic empowerment and access to financial services to disadvantaged groups of women. Additionally, privatization and development policies translate into more difficulties for women, especially those living in rural, or conflict affected areas, in gaining access to natural and economic resources.

The challenges are further revealed when the country was confronted with a crisis such as COVID-19 that led to dramatic health, societal and economic consequences. According to the Thailand Economic Monitor, the COVID-19 pandemic shock saw the Thai economy contract by 6.2% in 2020 due to a decline in external demand affecting trade and tourism, supply chain disruptions, and weakening domestic consumption.[[5]](#footnote-5) Rise in unemployment and the devastating plummet of income in both formal and informal sectors have again affected the most vulnerable first and most severely. Thailand has seen both government and non-governmental actors responding to COVID-19 on several fronts. Whilst these efforts are critically important and much needed, it is important to acknowledge that the impact of the pandemic highlighted the weakness of current policy formulation and public service delivery process. It has been reactive more than pre-emptive, and the fault lines that exist have clearly been exacerbated. While the global trajectory of the pandemic remains unpredictable, rising energy and food prices in the country are slowing growth in private consumption and household welfare.[[6]](#footnote-6)

The COVID-19 pandemic has revealed the limits of current public policymaking and weaknesses of some of the public services delivery. It has demonstrated that traditional approaches for designing and formulating policy and delivering public services are not sufficiently agile, efficient, and effective to tackle and anticipate the highly uncertain global context that we live in. Development challenges today requires a comprehensive rethinking to some of the basic tenets on which our economic, social, political, and environmental systems are built and unlock new sustainability paradigms, and redefine the local, national, and global economy and society - through Foresight, Systemic Thinking and in a human-centred way. Current policy processes and instruments are ill-equipped to address growing environmental, social, and economic complexities. These complexities cannot be addressed by simply the most rational solutions and/or linear problem-solving process because it may be that old models that we rely on no longer apply in the context of a VUCA (volatile, uncertain, complex, ambiguous) world, nor by any single government actor or stakeholder. It requires an approach where governments and other agencies must work together and collaborate with stakeholders outside of government to pursue a common vision. It is important that governments must also become more porous to the ideas and perspectives of people outside of bureaucracy to collaboratively understand and address issues. This demands new and innovative ways by which government can solve problems through policy.

Similarly, to further enhance these solutions, it is important that policymakers and decision makers at all levels (community, local, regional, national) are engaged to build an agile and capable cohort of changemakers within the government. It is also particularly crucial that there are diversity in the representation of policymakers engaged in the Thailand Policy Lab’s work – particularly the empowerment of female policymakers to ensure equal participation in all areas of work.

The UNDP Strategic Plan 2022-2025 understands the new set of complexities we live in following the planetary emergency that affected not only all humans but arguably the majority of life on earth. Even before the pandemic, critical challenges were emerging – climate emergency, political polarisation and the rising inequality which have certainly been exacerbated since. In order to address these increasingly complex, dynamic, and interconnected issues and to achieve Agenda 2030, systemic and structural solutions that leave no one behind are required.

The creation of the Thailand Policy Lab fits into the broader strategic goal of the UNDP in focusing on innovation. UNDP has begun incubating several strategic initiatives aimed at ensuring UNDP is ‘fit for purpose’ to deliver a new generation of solutions in line with the challenges the world faces. One such key strategic initiative is the Country Accelerator Lab Network. The initiative is recognition that increasingly interrelated development challenges require going beyond business as usual and single point, linear and silver bullet responses in development. Instead, these challenges call for interdisciplinary approaches and non-linear solutions that crowd in the collective efforts of a variety of partners and tap into local insights and the knowledge of people closest to the problem and the solutions.

The initiative is also recognition and investment in the emerging momentum among a growing number of UNDP Country Offices around joining together disruptive, cutting-edge methodologies with contextual, country-based insights and expertise to accelerate impact and progress toward the Sustainable Development Goals.

In Thailand, for many years UNDP has been investing in exploring innovation by providing seed-funding to initiatives with the belief that innovation happens through practical explorations of new ways to address old development problems.

To accelerate innovation in public policy and services, UNDP and the Royal Thai Government through the Office of the National Economic and Social Development Council have partnered and established the Thailand Policy Lab, which will benefit from expertise and knowledge from UNDP Acceleration Labs and other innovation labs in countries around the region.

Under the partnership agreement between the Royal Thai Government and UNDP, the Thailand Policy Lab is to introduce an innovative approach in policy-making and public service delivery in Thailand. A key focus will be to experiment with innovative approaches to policy development to better address the needs of individuals and communities. It seeks to identify paradigm shifts emerging from the current response of the Royal Thai Government to the crisis. It will ask which new models of governance can enable better preparedness for future crises and the achievement of the SDGs in Thailand. Importantly, the Thailand Policy Lab will help identify interventions that are grounded in system thinking and can accelerate the transition from short-term to long-term policy and planning.

# Strategy (1/2 page - 3 pages recommended)

As social and economic issues increase in their complexities, they demand new and innovative thinking to develop intelligent and creative policy alternatives. These issues cannot be addressed by a rational and/or linear problem-solving process, nor by any single government actor or stakeholder. This requires that policy makers consider new approaches to bring stakeholders and the public (especially those who are usually excluded from such conversations) into dialogue on creative solutions which may push traditional boundaries of decision making and policy implementation. It necessarily requires a “whole of government” approach where public sector offices and agencies must work together across departments and collaborate with stakeholders outside of government. Government and policymakers must also become more absorptive to the ideas and perspectives of citizens to collaboratively understand and address issues. This demands new and innovative ways by which government can solve problems through policy that leaves no one behind.

Drawing on the full capacity of the UN development system and UNDP’s strategic integration services, supporting Governments in their formulation of national development strategies and initiatives that are geared to respond to complex, manifold development challenges and achieve the SDGs, utilizing a range of global assets, tools and services tailored to country contexts, to this end, UNDP seeks to spur policy innovation by advocating for a whole-of-society approach wherein all key stakeholders can contribute to the policy process that is intentionally inclusive, and by embedding iterative learning and experimentation into the policy cycle. This builds on UNDP’s experience in integrating innovation into its programming, as well as its strength in promoting democratic governance. In UNDP’s Strategic Plan for 2022-2025, governance, one of the six corporate signature solutions, also focuses on anticipatory and preventive measures to address emerging complexities. This includes an investment in public sector capabilities and future-proofing development, which are also key elements of policy innovation.[[7]](#footnote-7)

Thailand Policy Lab’s approach to policy innovation is developed based on the traditional public policy cycle in the Thai context, while seeking to create new ways to gather evidence for policy bases, facilitate public participation, as well as to embed learning and experimentation in the policy development process, using innovation and an agile approach and including those who have previously been marginalized into or left furthest behind.

Given the complexity and the speed with which such issues evolve, the traditional way of policymaking is proving insufficient. For instance, with issue identification and agenda setting, being expert driven at the expense of citizens’ sentiments or inputs means policymakers fail to be responsive and risk losing public trust, but there is also danger in being too reactive to issue in the media that capture certain audiences’ attention, while failing to recognize larger problems or patterns, which can be identified through data. This would require both better evidence base, data analysis, as well as inclusive engagement of citizens to complement quantitative data with lived experiences. Ideally, open policy making is pursued by engaging a broad range of stakeholders from the outset, so that people are consulted on their needs and perceptions of the issue before policy options are developed.[[8]](#footnote-8) Often, efforts to engage the public in policymaking only consult for comments or preferences before a policy is officially adopted, essentially precluding meaningful public participation.

In addition, there are often huge gaps between policy planning or the intent, and the actual implementation phase. This speaks to the limitations of planning in the face of real-world challenges’ uncertainties, unknowns, and ever shifting dynamics. Hence, different ways of thinking about policy implementation are needed. Furthermore, the policy evaluation phase in the traditional policy cycle rarely informs learning, and in fact comes too late in the process when it should be done at every step of the way. In this sense, UNDP’s emphasis on embedding learning and experimentation aims to create opportunities to prototype or sandbox and observe, evaluate, and incorporate learning before policy solutions are scaled up.

**Thailand Policy Lab’s Approach to Policy Innovation**



Policy innovation can be defined as “novel processes, tools, and practices used for policy design and development that result in better problem solving of complex issues”.[[9]](#footnote-9) It is closely related to, and in many ways also dependent on, public service innovation, wherein “novel processes, tools, and practices [are] used to design services that result in high-quality citizen experiences”. Both policy and service innovation are key parts of public service innovation, which also encompasses open and digital government.

Thailand Policy Lab does not seek to create an alternative policy cycle for policymaking, but instead to introduce these novel processes, tools, and practices, through practical demonstrations and experimentations – involving and working alongside Thai policymakers to adapt these innovations to the Thai context. The lab’s long-term objective is eventually to co-create new processes with Thai policymakers, create national ownership, and institutionalize these new paths for policymaking.

To enable the adoption of such approaches by governments, Thailand Policy Lab has identified the initial enabling factors in the illustration above. It recognizes that these processes require human capacity as individuals and collectives (i.e., community of innovators), which can be mobilized through communication for public engagement and convened through both in-person and virtual platforms to facilitate further deliberation and inputs. In these activities, it is crucial that there is equal gender representation of participation at all stages, to ensure that no particular group, especially women, is left behind in the innovation agenda. Using this model as a point of departure, we will assess more broadly what else is needed to create an enabling environment for innovative policymaking and identify ways in which we can mainstream digital and innovation into policymaking process to enhance policy outcomes. In addition, in Thailand, the relationship between gender and the policy-making process is not uniform across public sector policy making. Gender operates in diverse and specific ways within policy making, both mainstream and gender specific. The specific conditions for advancing gender equality and women’s interests in policy-making processes would require a combination of integrated approaches to policy making such that mainstream policy is developed co-extensively with gender-specific policy and vice versa, including development of a thoroughgoing understanding of the gender politics involved in the process.

In other words, what could complement the existing policy cycle in Thailand to facilitate new ways of gathering evidence as insights and learnings, defining problems, influencing policy decisions, support its implementation and enhance the monitoring and evaluation. To this end, Thailand Policy Lab looks to innovation in the process (i.e., how can additional considerations or small steps be included in the existing key stages of policy cycle to enhance outcomes), as well as innovation in the tools involved for each step (i.e., what might improve the outcomes).

**Identifying the Enabling Factors**

Illustration of Baumgartner & Jones's Punctuated Equilibrium model courtesy of National Collaborating Centre for Healthy Public Policy (2018)

In public policy literature, there are two main theories on how policies evolve or how changes in policy gain enough traction to get adopted for implementation. First is the idea of punctuated equilibrium, observing that the stance or direction of policies on various topics tend to remain stable for a period of time, punctuated by critical events that lead to radical change, or in the context of our objectives – possible innovation.[[10]](#footnote-10) It suggests that without those critical moments, whether election cycles, media/public outcry, groundbreaking scientific findings of societal or political consequence, disasters, pandemic, etc. – policymakers may be less inclined to experiment with new policy directions.

The second is the “Multiple Streams Framework” which views factors determining the likelihood of a new policy adoption as different streams: problems, policies, and politics. These streams need to coincide to create a “policy window”, or an opportunity for those wishing to drive change and encourage innovation (“policy entrepreneurs”) to successfully push their policy agenda for adoption.

The assumption or the argument here is that these theories can also apply to how policies are made, not just what kind of policies get made. Based on this, policy innovation relies on critical events and policy windows, which requires the capacity on the part of policymakers and stakeholders to push through new policy ideas and policymaking practices. The task is how Thailand Policy Lab as a joint initiative between UNDP and NESDC can leverage both its local and international perspectives to take advantage of critical moments, as well as to equip stakeholders with the capacity to identify and influence such windows of opportunity.

Illustration of Kingdon's MSF courtesy of Bodo et al. (2019)

In recognition of the shortcomings of traditional policymaking, as well as the opportunities to improve, building on UNDP’s experience and the Thai government’s insights through NESDC’s leadership, Thailand Policy Lab has identified the enabling factors for policy innovation it needs to support or catalyze, which are in part already articulated in its founding objectives above.

So far, emphasis is placed on the need for capabilities of various stakeholders – as individuals and collectives - in innovating (process and tools) and learning while being intentionally inclusive and holistic. The Thailand Policy Lab is proposing doing this through portfolio approaches, which ultimately requires to some degree candid questioning, openness to experimentation and learning. Further, as policy innovation has been defined earlier, such efforts will also require complementary public service innovation, and a broader whole-of-society movement to innovate, open, and digitally transform the public sector. OECD’s public sector innovation framework considers it at four levels: the individual innovator, the organization, the public sector, and the broader society.[[11]](#footnote-11) It also theorizes that there are four key organizational factors which enable innovation: people/cultural; knowledge and learning; ways of working; and rules and processes. Therefore, policy innovation relies on the broader capacity for public sector innovation at all the four levels as well as the government’s ability for service innovation (can be seen as part of organizational/public administration level innovation) which is a key mandate of the government, and a part of policy delivery). This is essential for policy innovation to truly be embraced and allowed to succeed through all stages of the policy cycle, rather than only in the policy formulation phase.

Based on these key tasks which complement our guiding objectives, Thailand Policy Lab recognizes there are some assumptions which need to be addressed, for these enablers to effectively facilitate innovation within the Thai policymaking system. With reference to the OECD’s four-level framework, we should question the assumptions outlined below and consider which levels are already open to the approach to innovation discussed, and which levels we need to engage with and convince. The first three levels can be seen as wholly inside the government, whereas the highest level – society – is necessarily more inclusive and requires a broader group of stakeholder engagement.

1. Openness to innovation – both the people/cultural as well as the rules and processes dimensions:

All the three levels of the public sector are open to innovative approaches which involve non-linear planning, experimentation, and learning. There has been an increased use of sandbox as policy experiments in Thailand, which is a sign there is openness to experimentation at the highest level. Thailand Policy Lab can leverage this to partner with other parts and levels of the Thai government to try and apply UNDP’s innovation approaches to their policy planning.

* Is there the freedom or ability to pursue flexible planning and experimentation, legally and financially speaking, especially when the activities are not part of a high-level political flagship projects such as the Phuket tourism sandbox? This can be either at the organizational level or the public sector since some government agencies may have more leeway than others. Even if there are structural obstacles to integrating experiment into their normal way of working, Thailand Policy Lab can still encourage the openness to do so by setting good and fruitful examples of insightful experimentation which offers both opportunities to learn and innovative outcomes.
* Are there financial constraints for investing in new ways of gathering data and inputs for policy planning? How do budget allocation and rules accommodate experimentation?
* Are there legal constraints, for example the Personal Data Protection Act that may affect personal data protection, data disclosure data protection regulatory environment?
* What are some obstacles to flexible planning for various possible scenarios rather than trusting the assumption that situations will be linear, going from A to B? Are they legal, financial, cultural?
* Is society – citizens, businesses, and civil society – open to seeing governments experiment and learn. While most want to see “innovation” and better digital services from governments, this cannot happen consistently or sustainably without governments feeling it is able to take small risks and experiment as a normal way of working rather than an exception.
1. Capacity and know-how regarding innovation – knowledge and ways of working, including awareness raising and infrastructure and capacity building dimensions:

All four levels (individual, organization, public sector, and society) know about the innovative tools and practices which can be employed in different stages of policymaking. At least within the public sector, there is a recognition that they are not just for the sake of innovating towards better policies, but also to democratize the process to make policies and their outcomes more inclusive,, citizen driven, and leaves no one behind. For instance,

* Is there an understanding of how Systems Thinking and Strategic Foresight can contribute to problem definition and potential policy solutions scanning?
* Is there capacity to engage with various groups and demographics of the public and policy stakeholders to allow for their meaningful participation in the policy cycle? Are existing channels sufficient for such engagement, or how might we improve their accessibility or depth of participation?
* Are there behavioral economists who can help experiment and inform the deployment of behavioral insights and nudges in policy implementation?
* Is there an awareness of how different types of data can serve as evidence bases for policymaking, from digitally enabled data management and sharing to ethnography for policy evaluation to inform the policy formulation? This includes the capacity to generate, collect, and analyze various sources of data which can inform policies. Particularly when it comes to open data, the capacity to disclose and meaningfully utilize it must exist in both government and non-governmental stakeholders, so that citizens, civil society, and businesses can use open data to inform their own work and policy advocacy, etc.
* According to the four levels mentioned, is there knowledge of, or familiarity with, novel approaches which can be applied to various stages of the policy cycle among both public sector as well as civil society actors? Ideally, both sides should have the capacity act as policy entrepreneurs – using data, situations, advocacy, and multi-stakeholder convening to define problems and set the agenda, engendering support from both the public stakeholders and political leadership to align the “problem” and “politics” stream.
* Is there capacity for change management, especially among high-level individual officials, particularly women, or at the organizational level, to drive respective government departments to adopt and operationalize such know-how?

In conclusion, the Thailand Policy Lab seeks to identify paradigm shifts emerging from the current response of the Royal Thai Government to the current COVID-19 crisis. It will ask which new models of governance can enable better preparedness for future crises and the achievement of the SDGs in Thailand. Importantly, the Thailand Policy Lab advocates for using portfolio approaches to guide policy innovation, which underline the key roles of learning, experimentation, and adaptation in public policy, to achieve our guiding objectives. It will help identify interventions that are grounded in system thinking and can accelerate the transition from short-term to long-term policy and planning. For example, how can Thailand design climate policies that reduce the risks of future pandemics? How does Thailand reimagine health service delivery so that it is community-centric (rather than just patient-centric) to allow for a better pandemic response? How can Thailand accelerate the transition to new forms of urban planning that reduce the risks of contagion and increase access to opportunities for everyone?

The strategy is to coordinate activities for various key stakeholders: government, academia, private sector, and citizens to accelerate the impact of policy innovation in Thailand. To address the challenges, the Thailand Policy Lab will provide three core capacities to partners in Thailand and the region as follow:

* Be a space for national policy innovation – by gathering a network of national and international experts and development practitioners in Thailand to exchange knowledge and share experience, co-create and experiment new policy, new development models and new solutions to persistent development challenges at national and local level in the future and thereby contribute to the achievement of the SDGs.
* Be a mechanism to position Thailand as a champion in policy innovation in the region - by enhancing the capacity of the Royal Thai Government in terms of knowledge, skill, and hands-on experiences in applying policy innovations for policy formulation, implementation, and evaluation. As a result, Thailand will later provide technical assistance, share good practices and experience on policy innovations with neighboring countries and other countries to accelerate regional development and integration.
* Be a learning platform for a community of national innovators - by developing knowledge products including experience of Thailand and platform to expand knowledge of innovations and its contribution to SDGs among various stakeholders such as experts, decision-makers, government agencies, local administrative organizations, civil society organizations, academia, private sectors, social enterprises etc.

The guiding objectives of the Thailand Policy Lab are as follow:

* To foster inclusive and citizen-driven policymaking at national and sub-national levels.
* To innovate policymaking processes for tackling contemporary challenges.
* To enhance capacities of the public and private sectors at national and subnational levels to design and implement innovative policies.
* To build a multi-level sustainable network of policy innovators.
* To promote Thailand as the leading regional hub for policy innovation.

The Thailand Policy Lab is expected to bring the following benefits for Thailand:

* Developed innovative policy options, recommendations and monitoring system collectively to persistent development challenges in the future for inclusive and sustainable development of Thailand.
* Strengthened capacity of policy makers, government officials, and development practitioners at all levels and with equal gender participation in Thailand in terms of knowledge, skills, and hands-on experience for developing policy innovation.
* Strengthened and development of innovators’ network who bring expertise and experience in creating better innovations through hands-on learning.
* Better quality of life of Thai people, particularly of vulnerable and marginalised groups, resulted from increased in effectiveness and efficiency of public policy and development strategy, public service, and governance.
* Enhanced role of Thailand to become a centre of policy innovation in the region.

# Results and Partnerships (1.5 - 5 pages recommended)

***Expected Results***

The Thailand Policy Lab’s mission is to innovate Thailand’s public policymaking for greater efficiency, effectiveness, and responsiveness to new challenges and people’s needs. It is designed in line with UNDP Thailand’s UNSDCF Outcome and Output as the following:

**UNSDCF Outcome 2**:

Human capital needed for social and inclusive development is improved through strengthening of institutions, partnerships, and the empowerment of people

**UNSDCF Outcome 3**:

People living in Thailand, especially those at risk of being left furthest behind, are able to participate in and benefit from development, free from all forms of discrimination

**CPD Output 2.1**:

Strengthened capacity of state and non-state actors to support Thailand’s digital transformation and innovation for improving access and delivery of quality services

**CPD Output 3.1**:

State and non-state actors engage in social dialogues and adopt practices that foster human rights and equality for a just and inclusive society

In line with the Country Programme Document, the project is expected to deliver three sets of specific outputs:

*Pillar 1: Policy Innovation Exploration and Experimentation*

Output 1: Policy innovation explored and experimented for policy options and recommendation

The Thailand Policy Lab will bring to scale innovation in policy making initiatives / activities and developing and iterating idealized test cases for using real-world evidence in experimenting with new approaches and supporting learning (such as design thinking, strategic foresight, big data, behavioural insights, co-production, ethnography, etc.) It is important to note that a design approach to policy is not about replacing or usurping empirical approaches but complementing and enhancing them. Improving policymaking involves bringing ‘outside’ disciplines, such as anthropology, design and futures thinking into a policy context. Policy experimentation will focus on arriving at evidence-based policy by testing the effects of policy interventions in real-world settings. These experiments are done to systematically learn about what works and what does not work in order inform decision-making.

The first Output is the first entry point for experimenting with innovative approaches to create practical learning experiences for policymakers in Thailand. The projects under this pillar not only introduce new approaches to policymaking conceptually (e.g., systems approach, portfolio approach, foresight and futures thinking, empathetic tools, design thinking, deep listening), but they are applied to real policy projects and act as a demonstration space for policymakers. These projects are expected to create the following impacts:

* Innovative policy approaches that are trailed and tested on real policy issues create learning and develop best practices specific to Thailand context. The learnings and experiences are collected and disseminated to policymaking and innovation communities (domestic and abroad).
* Policymakers engaged in the process have first-hand experiences on innovative approaches and can act as ‘champions’ in their own respective organisations to carry the policy innovation agenda forward.
* Policy insights and options that are produced from these projects reflect and prove the value policy innovation. When implemented, these policies would lead to more efficient and targeted impacts in the issue domain that are responsive to new challenges and people’s needs.

*Pillar 2: Capacity Building for Developing Policy Innovation*

Output 2: National capacities for policy innovation in Thailand accelerated

The Thailand Policy Lab will build the skills and knowledge of policy makers and civil service through structured and tailored made trainings that focus on human centered design approaches and the application of innovative tools in public service delivery and policy formulation. Structured training will move beyond ad hoc training or knowledge sharing to fostering an agile, iterative, and co-creative mindset. Training courses, for example, will integrate design methods into accredited civil service training modules and leadership initiatives as well as identifying champions.

The second Output is a wider engagement that aims to build the capacities of a larger cohort of policymakers and government officials on the innovative approaches that the Thailand Policy Lab is exploring and experimenting with in the first Output. Unlike the first Output, this capacity building Output primarily focuses on the transferable skills and competency of individuals (policymakers, government official and stakeholders) that can be applied in any policy area or organisation to create more efficient and effective policies. The longer-term impact is a creation of a critical mass of innovative change agents who would usher in a new culture of policymaking – one that is more systematic, anticipatory, human-centric and leaves no one behind.

*Pillar 3: Learning Community of Innovators*

Output 3: Learning Community of innovators strengthened through increased access to approaches and methodologies for policy innovation and networking

The Thailand Policy Lab will broaden stakeholder engagement and partnership for co-creation (for example through targeted outreach, forums, dialogues, roundtables, site visits, etc.) These processes would support a pivot toward a strengthened community of innovators and protocols designed to share knowledge, experiences and lessons learned. Partnership through data and information sharing will also be integrated to help leverage the full potential of real-world evidence in innovation in policy making.

The third Output focuses on building, facilitating, and maintaining connections between innovators, through the creation of spaces (platforms, series of national and local events, communities) that allow innovators and stakeholders in the policymaking ecosystem to connect and create a multi-disciplinary effort to tackle complex issues. While this may include policymakers, government officials and stakeholders, this Output also highlights the special role of the public in participating in the wider conversations on policy innovation. Similar to the second Output, the long-term impact of this work is a society where policy innovation is valued and promoted, which in turn multiplies the number policy innovation projects beyond ones which are undertaken by the Thailand Policy Lab itself.

The following areas will guide the core activities of the Thailand Policy Lab, subject to regular updates in response to changing government priorities and emerging policy challenge. For the planning and implementation of activities, the project seeks to ensure complementarity and synergy among these pillars. The full and effective participation of all relevant stakeholders and accountable, and inclusive governance is a key guiding principle for implementing activities under all the three pillars.

The expected results will create a culture that invites a balance of quantitative and qualitative evidence for problem solving (by providing policy professionals with increased capacity and access to tools that are better suited for communicating the lived experience of people, as compared to aggregate and quantitative data) and bring people closer to the policy development process and government closer to people’s needs.

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

The operation of the Thailand Policy Lab will require:

* Government cost-sharing – for creating space to explore and experiment with the application of innovation in policy making and develop the knowledge and skills to develop policy in a more open, data-driven, digital, and user-centred way.
* Investment – investment funding from public and private sector partners would be needed to develop tools and techniques to deliver new policy solutions, to test prototypes and scale up successful innovations and to build the skills and knowledge of the policy profession and wider civil service.
* In-kind contributions – in the form of knowledge, tools, methodologies and approaches and expertise from UNDP and other UN agencies to support capacity building for government officials and key stakeholders.

In the day-to-day activities, the project will be implemented by one project management unit comprising of one project manager with direct support from 6 key staff. These include Policy Exploration Analyst, Policy Experimentation Analyst, Communication and Engagement Officer, Policy and Social Innovation Associate, Project Management Associate with the support of a United Nations Volunteer. The project management team will also receive technical support from UNDP Regional Innovation Centre and operational support from UNDP’s programme officers, advisors, and administration support from the UN Operational Service Team.

***Partnerships***

Partnerships are a crucial part of this project and its delivery strategy. The project will be implemented in partnership with a wide range of partners, particularly the government, namely NESDC, and leverage the expertise of other UN agencies and development partners. The project works to promote the NESDC policy innovation capacities and partnership practices to achieve improved development results. The Thailand Policy Lab will use a variety of channels to cultivate current and prospective relationships, leveraging events and webinars, online engagement (blog, twitter) as well as direct outreach to build connections and will seek to remain responsive to stakeholders, their changing needs, and the political environment they operate within. Partnerships will be firmly anchored in the Thailand Policy Lab’s cornerstones of work, supporting the implementation of the activities. Attention will be placed on different partnership mechanisms that mobilise tools and approaches to amplify impact and that can help connect different initiatives for transforming the policymaking ecosystem. In addition, leveraging on the achievements of UNDP’s experience in innovation and strategic initiatives, the project adopts an integrated approach with the view to achieve concrete transformational impacts in strengthening institutional capacity building on policy innovation.

The project will deliver parts of the work plan through responsible parties as applicable, including academia, NGOs, private sector, etc., and will leverage their specialized skills and experience to better develop new policy transformation capabilities. In addition, UNDP will ensure mainstreaming gender perspectives in all project activities and operations. This is also to promote gender equality in terms of participation and representation between men and women in all aspects of the project implementation.

***Risks and Assumptions***

Initiatives that seek to engage government agencies in developing policy in a more open, data-driven, digital, and user-centred way face a broad range of practical, social, and cultural challenges. Risks will be identified and reviewed on a continuous basis during project implementation and inform course correction and project adaption. Table 1 summarizes key sets of anticipated risks and countermeasures to address each type of risk.

|  |  |  |
| --- | --- | --- |
| **No** | **Type of Risks** | **Counter Measures** |
| 1 | Experimentation projects mean that there are chances of failures and delays – although this should be taken as a lesson learned if knowledge management is carried out. | Dedicated ‘work stream’ to learning and knowledge management and generating useful insights that enable NESDC and key stakeholders to experiment with innovative approaches to policy development to better address the needs of individuals and communities. |
| 2 | Institutionalization of innovation within the policymaking process cannot be fully realized without buy-in and ownership from government partners.  | Engagement with government partners from the start of each activity and on a continuous basis, including dissemination of success stories and learnings to promote and create awareness on the importance of policy innovation. |
| 3 | Lack of interest and commitment from the government in policy innovation and in promoting innovation in public policy and services in Thailand. | Broaden stakeholder engagement and partnership for co-creation (for example through targeted outreach, forums, dialogues, roundtables, site visits, etc.) to support a pivot toward a strengthened community of innovators and protocols designed to share knowledge, experiences and lessons learned. In addition, engage in active awareness building exercises and reintroduce the project to policy makers within the respected governmental partners. |
| 4 | Changes in the government structure that may influence the engagement process for project coordination with the government partners especially because this project aims to offer some insights for the policy design and formulation for the government. This will have consequences in a form of lack of support from the government in the project implementation. | Broaden the range of internal and external stakeholders to build supply, demand, and capabilities, using use a variety of channels to cultivate both current and prospective relationships. |
| 5 | The positioning of UNDP’s programming, and the quality of its knowledge and innovations networks. If the project is to be of value, it is critical that it can identify the innovative methodologies and approaches for which UNDP has a comparative advantage and where innovation is an effective solution. Otherwise, UNDP could end up being irrelevant. The quality of the network of knowledge and innovations partnerships at the disposal of UNDP in Thailand matters. | The project partnerships for policy innovation will be key to ensure the quality of policy dialogue and activity design. The quality of these networks and partnerships will affect UNDP’s ability to engage the Thai government in a policy dialogue, to ensure a growing appetite within the public policy, in Thailand, to experiment with innovative approaches to policy development to better address the needs of individuals and communities. |
| 6 | Laws and regulations governing data protection |  |

***Stakeholder Engagement***

The key guiding principle of the project is to ensure the full and effective participation of all relevant stakeholders. Stakeholders include government, civil society organizations, the private sector, academic institutions, and local communities.

The main target groups for the project include:

* National and subnational governments for sharing and application of new innovative tools and approaches, skills building, exchange of experiences and upscaling policy solutions.
* Citizens (women, youth, IPs, PWD and LGBTI) for raising awareness of innovation in policy, on key issues and collective uptake of solutions and improvement of human rights.
* Academia for promoting the application of tools and methodologies in curriculum design and teaching and strengthening the network of university professors/lecturers to further exchange ideas and cross-fertilize innovative impulses across organizational boundaries.
* Private sector, development partners, and civil society for creating an enabling environment for transformation.

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

The project will promote South-South and Triangular Cooperation through close coordination with UNDP regional and global offices. The UNDP CO will coordinate with regional and global offices in disseminating best practices and lessons learned from Thailand and in connecting Thailand with other countries to share lessons and experiences related to activities facilitated under the Thailand Policy Lab and country office. The project will organize regional level learning events to facilitate a cross-border exchange on innovative tools and processes which can be used in policymaking at sub-national and national levels. The project will promote a community of innovators by encouraging discussion and sharing of knowledge among different stakeholders on innovative tools used for policy making as well as in curriculum design and training and introduce innovative tools and/or processes currently being implemented in policymaking processes and public engagement in the global arena by various international organizations. The project will foster knowledge sharing of innovation and developmental challenges and devising common and regional level solutions and strategies to tackle these challenges among the ASEAN countries including Laos, Myanmar, Thailand, Vietnam, and China. The Thailand Policy Lab will promote public-private partnership as well as wider engagement with other stakeholders including private sector at the national and regional levels, under south-south arrangements and trilateral arrangements when possible.

***Knowledge***

This project places a strong focus on knowledge management and lessons learned. Knowledge management is integral to proving of concept and demonstrating how bringing innovation into policy making could guide Thailand towards inclusive and sustainable development pathways. Knowledge management allows innovation to grow. However, policy options and recommendations have to also be translated into action and to demonstrate scalable impacts that address the developmental challenges. Accordingly, the success of policy and innovation depends on the collective uptake of policy and innovation by all relevant stakeholders, central among them key policymakers. Hence, it is crucial to raise awareness among policy makers and stakeholders about issues and policy solutions and about different courses of action. This highlights the strategic importance of ongoing communication and partnership-building with relevant stakeholders. It also indicates the importance of the need for appropriate financial and human resources to test and scale-up the proposed policies and innovations. The project will also consolidate and apply lessons learned from Thailand and elsewhere about mainstreaming innovative solutions and practices. The project will reflexively test and learn from what works and what does not work from tested models and adopt the lessons to improve the business models for replicability and scaling up. This project implements a communications strategy, learning materials and visual notes, and dissemination of insights about policy innovation to ensure that knowledge and lessons learned are accessible and influential among key audiences. Dissemination will happen through a variety of channels, including proactive outreach and sharing, as well as online channels and social media platforms (such as website, Facebook, Twitter, and LinkedIn.) Besides day-to-day communication activities to inform the public about key activities implemented by the Thailand Policy Lab, the project will seek ways to enhance communication as a tool for influencing public discourses, by articulating, disseminating and facilitating knowledge sharing, co-creating a Thailand-focused body of policy innovation best practices and case studies, including utilising and diversifying content formats for website and social media purposes and different writing techniques to attract engagement.

The project will create a website to collect and store information around policy innovation, courses and seminars in Thailand and other countries that will be publicly available and using single and multiple picture posts to attract users’ attention. The project will also develop a virtual platform to enable participation in policy innovation in the contexts of Thailand with features such as petitions and proposals, peer-to-peer learning, knowledge management, and data analysis. This platform will be used to connect all the players in the policy innovation space, including the public.

The project will also produce learning products. Insights, reflections, and emerging results will be captured in social media posts and documentation. The project will produce documents and protocols, annual reports capturing lessons and results as well as a range of other products, including stand-alone visuals, articles, podcasts, and videos.

***Sustainability and Scaling Up***

For this project, UNDP will collaborate closely with its network of government contacts, particularly the NESDC and government partners who are campions of innovation in sustaining and potentially scaling up the success of the project. With emphasis placed on generating public good knowledge products, this will help ensure sustainability as learning is distributed across and beyond UNDP and the NESDC. The project will work closely with the NESDC and other ministries to mobilize resources in order to scale up priority actions in support of the government priorities.

Institutional sustainability: will be improved through systematic capacity development measures for government partners at the level of national and subnational government officials. The project supports the leadership of the government agencies in further developing and facilitating learning and information sharing. As the conception of a policy lab is experimental, most of the work depends on opportunities and timings, meaning that for impactful outcomes, the work plan has to be flexible to an extent. Since government partners are more likely to collaborate on an activity if the activity fits with their current needs and mandate, the project will try to ensure mainstreaming interventions into the regular operations and budgets of involved government partners. Following the completion of the project these institutions and authorities will be champions and advocates of policy innovation.

Scaling up innovation is central to the project. The project will pioneer several innovative approaches not currently widely applied or practiced in Thailand. The project strategy is to establish pilot initiatives at the national and sub-national levels, which will test new approaches and models for adaptation of new co-creation tools and methodologies and knowledge.

# Project Management (1/2 pages - 2 pages recommended)

***Cost Efficiency and Effectiveness***

The project offers value for money based on benefiting from and utilizing the UNDP internal capacities wherever possible, well-known processes, systems, and mechanisms of UNDP for project management with a large pool of potential stakeholders. Each of the outputs of the project will generate a sub-set of activities that will frame a wide range of engagement patterns with identified stakeholders.

The project deploys a management approach where interventions are coordinated, synergetic and learn from each other, and thereby are more likely to contribute to the intended results. The project also proactively engages, collaborates with, and leverages a range of internal and external partners which increases the likelihood that the project achieves intended results (effectiveness) and is efficient (through synergies with partners).

***Project Management***

The project will be implemented under the framework of the UNDP Country Programme Document (CPD) 2022 – 2026 by applying the Direct Implementation Modality (DIM) of UNDP and will be managed under the delegated authority of UNDP Resident Representative. This project complies with policies, procedures, and practices of the United Nations Security Management System (UNSMS), and as such, is consistent with UNDP’s Programme and Operations Policies and Procedures, social and environmental sustainability through application of the UNDP Social and Environmental Standards. The project will be based in UNDP Thailand Country Office where all activities will be planned, coordinated, and monitored.

Regarding reporting, UNDP Thailand will submit an annual progress report to the Government of Thailand (including Financial Report), through the NESDC, corresponding to the activities in the workplan, based on the specified agreed indicators and measurable targets. UNDP will also ensure NESDC’s visibility during the project implementation. In this case, the logos of the NESDC will be shown in various publication materials, seminar events and press carried out by UNDP which are related to this project.

# Results Framework[[12]](#footnote-12)

| **Intended Outcome as stated in the UNDAF/Country Programme Results and Resource Framework:** Outcome 2: Human capital needed for social and inclusive development is improved through strengthening of institutions, partnerships, and the empowerment of peopleOutcome 3: People living in Thailand, especially those at risk of being left behind, are able to participate in and benefit from development, free from all forms of discrimination |
| --- |
| **Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:**Indicator 2.1.1 Number of recommendations integrated into policies and practices for improved and inclusive e-government services formulated at national and subnational levelIndicator 2.1.4 Number of people accessing digital platforms designed to increase connectivity, learning, and cross-sectoral collaboration for improved access and delivery of quality servicesIndicator 3.1.3 Number of changes in approved public policy that addresses the needs of vulnerable groupsIndicator 3.2.2: % of vulnerable people with improved opportunities to engage with decision making bodies at national and subnational levels |
| **Applicable Output(s) from the UNDP Strategic Plan: 2, 3** |
| **Project Title and Atlas Project Number: Thailand Policy Lab; 00144300** |
| **EXPECTED OUTPUTS**  | **OUTPUT INDICATORS[[13]](#footnote-13)** | **DATA SOURCE** | **BASELINE** | TARGETS (by frequency of data collection) | DATA COLLECTION METHODS & RISKS |
| **Value** | **Year** | **Year 1****(Jun – Dec 2022)** | **Year 2****Jan – Dec (2023)** | FINAL |
| **Output 1***Policy innovation explored and experimented for policy options and recommendation* | ***1.1*** *Number of policy insights, options and suggestions developed for specific policy issues taking into consideration aspects of gender and LNOB* | *Project Progress Report* | 0 | 2021 | 3 | 3 | 6 | *Document review* |
| ***1.2*** *Number of policy prototypes designed with**increased in awareness and recognition of the humanistic and empathetic values in the policy process* | *Project Progress Report* | 0 | 2021 | 2 | 3 | 5 | *Document review* |
| ***1.3*** *Number of government agencies**incorporating innovation for policy making and service delivery improvement* | *Project Progress Report* | 0 | 2021 | 2 | 3 | 5 | *Document review* |

| **Output 2***National capacities for gender-responsive and inclusive policy innovation in Thailand accelerated* | ***2.1*** *Number of government officials, policy makers, educators and key stakeholders trained on how to apply innovative tools to public service delivery and policy formulation* *taking into consideration aspects of gender and LNOB* | *Project Progress Report* | 0 | 2021 | 300 | 500 | 800 | *Document review* |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***2.2*** *Number of NESDC's staff applying knowledge and skills from policy innovation* ***intensive*** *training as measured by:**(i) demonstrated capabilities in doing things differently than previously**(ii) application of knowledge or skills learned over the course of the training* | *Project Progress Report* | 0 | 2021 | 50 | 50 | 100 | *A mix of qualitative and quantitative evidence to demonstrate capability development* |
| ***2.3*** *Number of* ***e****ducators applied gender-responsive and inclusive innovative tools and methodologies in their curriculum and teaching* | *Project Progress Report* | 10 | 2021 | 50 | 100 | 150 | *Document review* |
| **Output 3***Learning community of innovators strengthened through increased access to approaches and methodologies for policy innovation and networking* | *3.1 Number of platforms developed for people’s participation in policy design and formulation* | *Project Progress Report* | 0 | 2021 | 0 | 1 | 1 | *Document review* |
| *3.2 Number of people reached for raising awareness and knowledge sharing on the advantages of policy innovation disaggregated by sex and age* | *Project Progress Report* | 1,000 | 2021 | 2,000 | 3,000 | 7,000 | *Document and event review* |
| *3.3**Number of events on policy innovative tools and methodologies organized* | *Project Progress Report* | 3 | 2021 | 5 | 5 | 10 | *Document and event review* |
| *3.4 Number of people reached through Thailand Policy Lab’s digital platforms* | *Data from digital platform* | 300,000 | 2021 | 500,0000 | 700,000 | 1,200,000 | *Data from digital platforms* |

# Monitoring And Evaluation

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

**Monitoring Plan**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Monitoring Activity** | **Purpose** | **Frequency** | **Expected Action** | **Partners** **(if joint)** | **Cost** **(if any)** |
| **Track results progress** | Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs. | Quarterly, or in the frequency required for each indicator. | Slower than expected progress will be addressed by project management. |  |  |
| **Monitor and Manage Risk** | Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP’s Social and Environmental Standards. Audits will be conducted in accordance with UNDP’s audit policy to manage financial risk. | Quarterly | Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken. |  |  |
| **Learn**  | Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project. | At least annually | Relevant lessons are captured by the project team and used to inform management decisions. |  |  |
| **Annual Project Quality Assurance** | The quality of the project will be assessed against UNDP’s quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project. | Annually | Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance. |  |  |
| **Review and Make Course Corrections** | Internal review of data and evidence from all monitoring actions to inform decision making. | At least annually | Performance data, risks, lessons, and quality will be discussed by the project board and used to make course corrections. |  |  |
| **Project Report** | An annual progress report will be presented to the Project Steering Committee and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any review reports prepared over the period.  | Annually, and at the end of the project (final report) |  | NESDC |  |
| **Project Review (Project Board)** | The project’s governance mechanism (Project Steering Committee) will hold an annual project review to assess the performance of the project to ensure realistic budgeting over the life of the project. In the project’s final year, the Project Steering Committee 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. | At least annually | Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.  | NESDC |  |

**Evaluation Plan[[14]](#footnote-14)**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Evaluation Title** | **Partners (if joint)** | **Related Strategic Plan Output** | **UNDAF/CPD Outcome** | **Planned Completion Date** | **Key Evaluation Stakeholders** | **Cost and Source of Funding** |
| Final Evaluation | NESDC | SPOutcomes 2, 3 | CPD Outcomes 2, 3  | December 2023 | Government Agencies, Academia | 30,000 / Project Budget |

# Multi-Year Work Plan [[15]](#footnote-15)[[16]](#footnote-16)

*All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document. For further guidance, please refer to POPP PPM* *[Formulate Development Projects 3.0 Procedures > Step 3.2 > Prepare Fully Costed Budgets for Projects](https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=448&Menu=BusinessUnit&Beta=0).*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **EXPECTED OUTPUTS** | **PLANNED ACTIVITIES** | **Planned Budget by Year (USD)** | **RESPONSIBLE PARTY** | **PLANNED BUDGET** |
| Y1 Jun – Dec (2022) | Y2 Jan – Dec (2023) | Y3 Jan – Mar (2024) | Funding Source | Budget Description | Amount |
| **Output 1: *Policy innovation explored and experimented for policy options and recommendation****Gender Marker: 2* | 1.1 Design and test policy process prototypes using innovative tools and methodologies | 256,000 | 100,000 | 0 | UNDP | Government | Contractual Service,Consultant,Workshop, Communication,Travel, Implementing Support Service | 356,000 |
|  | 1.2 Improve policy implementation and delivery through application of design and co-creation processes that are gender sensitive | 15,000 | 15,000 | 0 | UNDP | Government | Contractual Service,Consultant,Workshop, Communication,Travel, Implementing Support Service | 30,000 |
|  | 1.3 Develop policy options for scaling innovation / solutions that take into account gender perspectives and LNOB | 48,800 | 60,000 | 0 | UNDP | Government | Contractual Service,Consultant,Workshop, Communication,Travel, Implementing Support Service | 108,800 |
|  | **Sub-Total for Output 1** | **319,800** | **175,000** | **0** |  |  |  | **494,800** |
| **Output 2: *National capacities for policy innovation in Thailand accelerated******Gender Marker: 2*** | 2.1 Map and compile innovative tools and instruments for teaching policy making and policy design | 4,000 | 5,000 | 0 | UNDP | Government | Contractual Service, Consultant, Workshop, Communication, Travel, Implementing Support Service | 9,000 |
| 2.2 Increase and strengthen capacity of policymakers, government officials, and key stakeholders in terms of knowledge, skills and hands-on experience for developing policy innovation | 136,000 | 100,000 | 0 | UNDP | Government | Contractual Service, Consultant, Workshop, Communication, Travel, Implementing Support Service | 236,000 |
|  | **Sub-Total for Output 2** | **140,000** | **105,000** | **0** |  |  |  | **245,000** |
| **Output 3: *Learning Community of innovators strengthened through increased access to approaches and methodologies for policy innovation and networking****Gender Marker: 2* | 3.1 Increase access to policy-making personnel and key stakeholders to updated information and knowledge on policy innovation, good practices and lesson learned in Thailand and other countries | 160,000 | 100,000 | 0 | UNDP | Government | Contractual Service, Consultant, Workshop, Communication, Travel, Implementing Support Service | 260,000 |
| 3.2 Increase public and stakeholders’ awareness and engagement in policy innovation | 210,000 | 110,000 | 0 | UNDP | Government | Contractual Service, Consultant, Workshop, Communication, Travel, Implementing Support Service | 320,000 |
| **Sub-Total for Output 3** | **370,000** | **210,000** | **0** |  |  |  | **580,000** |
| ***Project Management Unit (PMU)*** | Project Management | 155,000 | 255,000 | 60,000 | UNDP | Government | Personnel,Direct Project Cost,Implementing Support Service | 470,000 |
| **Sub-Total for Project Management Unit** | **155,000** | **255,000** | **60,000** |  |  |  | **470,000** |
| **Evaluation** | EVALUATION | 0 | 37,016 | 0 | UNDP | Government | Contractual Service, Consultant | 37,016 |
| **General Management Support (8%)** | General Management Support | 78,784 | 59,600 | 4,800 | UNDP | Government | GMS | 143,184 |
| **TOTAL** |  | **1,063,584** | **841,616** | **64,800** |  |  |  | **1,970,000** |

# Governance and Management Arrangements

The project will be implemented through direct implementation (DIM). UNDP will manage and take responsibility for all activities outlined in the Project Document. The Thailand Policy Lab Project will be guided by a project Steering Committee.

To implement specific activities, UNDP, through responsible party agreements and a grant mechanism, will engage partners as applicable, including academia, NGOs, private sector, marginalized group and citizen.

The project management will be led by the Head of Thailand Policy Lab with direct support from 6 key staff. These include Policy Exploration Analyst, Policy Experimentation Analyst, Communication and Engagement Officer, Policy and Social Innovation Associate, Project Management Associate with the support of a United Nations Volunteer. The project management team will also receive technical support from UNDP Regional Innovation Centre and operational support from UNDP’s programme officers, advisors, and administration support from the UN Operational Service Team.

The management team has the following responsibilities:

* Manage the overall project.
* Plan the activities of the project and monitor progress against the approved workplan.
* Implement activities by managing personnel, goods, and services, drafting terms of reference and work specifications, and overseeing all contractors’ work.
* Monitor events as determined in the project plan, and update the plan as required.
* Provide support for completion of assessments, spot checks and audits, as required by UNDP rules and regulations.
* Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports.
* Monitor progress, plan deviations, and make course corrections when needed within program’s agreed tolerances to achieve results.
* Ensure that changes are controlled, and problems addressed.
* Perform regular progress reporting to UNDP and NESDC as agreed by both parties, including measures to address challenges and opportunities.
* Manage and monitor the project risks initially identified and submit new risks to the program coordinators and to the Co-Chairs (if required) for consideration and decision on possible actions if required.
* Prepare and submit financial reports on bi-annual basis to Co-Chairs and Advisory committee.
* Prepare annual progress and final reports.

UNDP and NESDC shall establish a Steering Committee to monitor the progress of the project. The Steering Committee should convene at least once a year. The project Steering Committee is expected to provide the medium to long-term perspective, to ensure that the project remains focused on policy innovation and SDG policy priorities as regard to inclusive and sustainable development. Within the perspective of a medium to long-term time horizon, the project Steering Committee will ensure that key results, activities and plans of engagement comply are aligned with the strategies, principles and cross-cutting issues as outlined in this document and national prevailing policies. The project Steering Committee is responsible for making by consensus management decisions when guidance is required the project management team. The project Steering Committee decisions should be made in accordance with standards that shall ensure best value for money, fairness, integrity transparency and effective international competition. UNDP and NESDC shall also set an Advisory Board with representation from government agencies, CSOs, academia and private sector to provide advice to Thailand Policy Lab. Members of the Advisory Board will include experts who can bring in gender and LNOB perspectives. The Advisory Board will provide guidance based on the principles, strategies, and cross-cutting issues for the identification of priorities to be tackled by the project and provide guidance and recommendations on approaches to the project.

The Thailand Policy Lab works in close collaboration with UNDP Programme and Operations teams in the Country Office, UNDP regional hub and HQ, and the staff of other UN Agencies. The Team strengthens external partnerships with government officials, multi-lateral and bi-lateral development partners and civil society to promote policy dialogue, public consultations, and advocacy.

**Team C**

**Team B**

**Team A**

**Head**

**Thailand Policy Lab**

**Project Management Associate**

**Policy Exploration Analyst**

**Policy Experimentation Analyst**

**Communication and Engagement Officer**

**Policy and Social Innovation Associate**

**Project Assistant (UNV)**

**Project Steering Committee**

**Project Organisation Structure**

**Program Coordinators**

**NESDC**

**Senior Advisor**

**UNDP**

**Deputy Resident Representative**

UNDP Expert Teams

Advisory Board

**Co-Chairs**

**UNDP**

**Resident Representative**

**NESDC**

**Secretary General**

# Legal Context

*[NOTE: Please choose* ***one*** *of the following options, as applicable. Delete all other options from the document]*

**Option b. Where the country has NOT signed the** [**Standard Basic Assistance Agreement (SBAA)**](https://intranet.undp.org/global/documents/ppm/SBAA.pdf)

The project document shall be the instrument envisaged and defined in the [Supplemental Provisions](https://intranet.undp.org/global/documents/ppm/Supplemental.pdf) to the Project Document, attached hereto and forming an integral part hereof, as “the Project Document”.

This project will be implemented through direct implementation (DIM). UNDP will manage and take responsibility for all activities outlined in the Project Document. in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

# Risk Management

**Option b. UNDP (DIM)**

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][[17]](#footnote-17) [UNDP funds received pursuant to the Project Document][[18]](#footnote-18) are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.
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.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
	1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
		1. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
		2. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’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 responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
	3. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.
	4. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
	5. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a)UNDP Policy on Fraud and other Corrupt Practices and (b)UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
	6. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants’, subcontractors’ and sub-recipients’) premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
	7. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP’s Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

* 1. *Choose one of the three following options:*

*Option 1:*UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible parties, subcontractor’s or sub-recipient’s obligations under this Project Document.

*Option 2:*Eachresponsible party, subcontractor or sub-recipient agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Option 3:* UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note:* The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

* 1. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
	2. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
	3. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

**Special Clauses***.* In case of government cost-sharing through the project, the following clauses should be included:

1. The schedule of payments and UNDP bank account details.
2. The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.
3. The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.
4. UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.
5. All financial accounts and statements shall be expressed in United States dollars.
6. If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavours to obtain the additional funds required.
7. If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph [] above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.
8. Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.

In accordance with the decisions and directives of UNDP's Executive Board:

 The contribution shall be charged:

1. 8% cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices
2. Direct cost for implementation support services (ISS) provided by UNDP and/or an executing entity/implementing partner.
3. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.
4. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.”

# ANNEXES

1. **Project Quality Assurance Report**
2. **Social and Environmental Screening Template** [[English](https://popp.undp.org/_Layouts/15/POPPOpenDoc.aspx?ID=POPP-11-1517)] [[French](https://popp.undp.org/_Layouts/15/POPPOpenDoc.aspx?ID=POPP-11-1518)] [[Spanish](https://popp.undp.org/_Layouts/15/POPPOpenDoc.aspx?ID=POPP-11-1519)], including additional Social and Environmental Assessments or Management Plans as relevant. *(NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country level activities).*
3. **Risk Analysis**. Use the standard [Risk Register template](https://popp.undp.org/_Layouts/15/POPPOpenDoc.aspx?ID=POPP-11-2781). Please refer to the [Deliverable Description of the Risk Register](https://popp.undp.org/_Layouts/15/POPPOpenDoc.aspx?ID=POPP-11-2781) for instructions
4. **Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)
5. **Project Board Terms of Reference and TORs of key management positions**
1. Note: Adjust signatures as needed

2 The Gender Marker measures how much a project invests in gender equality and women’s empowerment. Select one for each output: GEN3 (Gender equality as a principal objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality) [↑](#footnote-ref-1)
2. https://www.worldbank.org/en/country/thailand/overview#1 [↑](#footnote-ref-2)
3. Ibid. [↑](#footnote-ref-3)
4. https://www3.weforum.org/docs/WEF\_GGGR\_2021.pdf [↑](#footnote-ref-4)
5. Ibid. [↑](#footnote-ref-5)
6. Ibid. [↑](#footnote-ref-6)
7. <https://strategicplan.undp.org/> [↑](#footnote-ref-7)
8. <https://openpolicy.blog.gov.uk/what-is-open-policy-making/> [↑](#footnote-ref-8)
9. Interview with Jerry Koh from MaRs Solutions Lab, cited in “Exploring Policy Innovation: Tools, Techniques + Approaches”, Brookfield Institute, 2018. <https://brookfieldinstitute.ca/wp-content/uploads/BrookfieldInstitute-PIP-Landscape-1.pdf>. [↑](#footnote-ref-9)
10. <https://www.ncchpp.ca/docs/2018_ProcessPP_Intro_PunctuatedEquilibrium_EN.pdf> [↑](#footnote-ref-10)
11. <https://www.oecd.org/gov/innovative-government/a-framework-for-public-sector-innovation.htm> [↑](#footnote-ref-11)
12. UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project. [↑](#footnote-ref-12)
13. It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant. [↑](#footnote-ref-13)
14. Optional, if needed [↑](#footnote-ref-14)
15. Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32 [↑](#footnote-ref-15)
16. Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities over the years. [↑](#footnote-ref-16)
17. To be used where UNDP is the Implementing Partner [↑](#footnote-ref-17)
18. To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner [↑](#footnote-ref-18)