

**PROJECT DOCUMENT****Global Project****Project Title:** UNDP Global Policy Centre for Governance**Project Number:** 144128/131993**Implementing Partner:** UNDP**Start Date:** July 2022**End Date:** June 2026**PAC Meeting date:** 18 May 2022**Brief Description**

UNDPs Strategic Plan (2022-25) has provided a roadmap to the development of the organisation's capacity to deliver effective programming aimed at implementing Agenda 2030 and achieving the SDGs. The Strategic Plan emphasises the importance of support to governance systems in order to achieve results across all signature solutions. The Centre is a means to support that end. UNDP is retooling the Centre and its functions to more efficiently align with the ambitions in the new Strategic Plan. In principle it will deliver in two directions. First, it will provide strategic guidance on acute and critical governance issues to the UNDP programmatic structure. Second, it will provide advisory to the strategic leadership of UNDP and broader UN family on governance puzzles and frontier challenges.

The Centre will build knowledge, insight and data through drawing on the experience and work of practitioners, policymakers and researchers – forging a methodology that is based on co-creation between these three professional groups. It will draw extensively on insight from UNDP programmatic experience and presence, but also build strong partnerships with relevant knowledge ecosystems. The Centre will directly stimulate a knowledge-based and honest global conversation on key governance questions in the world today, and provide an arena to explore ways of tackling those challenges.

## Contributing SP Outcome:

**Outcome 1:** Structural transformation accelerated, particularly green, inclusive and digital transitions

**Outcome 2:** No one left behind, centring on equitable access to opportunities and a rights-based approach to human agency and human development

## Contributing SP Output:

1.3 The 2030 Agenda, Paris Agreement and other inter-governmentally-agreed frameworks integrated in national and local development plans, measures to accelerate progress put in place, and budgets and progress assessed using data-driven solutions

2.1 Open, agile, accountable and future-ready governance systems in place to co-create and deliver solutions to accelerate SDG achievement

2.2 Civic space and access to justice expanded, racism and discrimination addressed, and rule of law, human rights and equity strengthened

2.3 Responsive governance systems and local governance strengthened for socio economic opportunity, inclusive basic service delivery, community security, and peacebuilding

2.4: Democratic institutions and processes strengthened for an inclusive and open public sphere with expanded public engagement

6.2 Women's leadership and participation advanced through implementing affirmative measures, strengthening institutions and civil society, and addressing structural barriers, in order to advance gender equality, including in crisis contexts

E.1 People and institutions equipped with strengthened digital capabilities and opportunities to contribute to and benefit from inclusive digital societies

E.2 Innovation capabilities built, and approaches adopted to expand policy options at global, regional, national and sub-national levels

Indicative Output(s) with gender marker<sup>2</sup>:

1. Research initiatives and partnerships strengthened to enhance the evidence-base and analysis on emerging trends on inclusive, effective and accountable governance.
2. Governance data insights and analysis generated, and global, regional, and national data systems strengthened to support evidence-based policy
3. Governance Innovation and Incubation Facility established to create space for co-creation and testing of new and innovative tools and pathways for inclusive governance.
4. A strengthened knowledge architecture for UNDPs governance support
5. Strategic communications, engagement and advocacy supported to co-create new ideas, enrich discussion, and inform the global discourse on inclusive governance.

<b>Total resources required:</b>	19,116,000 USD	
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	1,160,000
	<b>Donor Norway:</b>	10.77 million USD (103,960,396 million NOK) <sup>12</sup>
	<b>Government:</b>	
	<b>In-Kind:</b>	
<b>Unfunded:</b>	7,186,000 USD	

<sup>1</sup> Excludes 1% Coordination Levy. Total contribution from Norway is 105 million NOK.

<sup>2</sup> Using an exchange rate of 9.649 NOK to USD (May 2022).

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Agreed by

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Date: 15-Jun-2022

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## I. DEVELOPMENT CHALLENGE

The following narrative provides a brief description of key challenges and emerging trends that affect The Centre's **global policy<sup>3</sup> engagement on governance<sup>4</sup> issues**. In essence the logic is: rapidly evolving trends, increasing need for transformative change and a democratic backsliding – create a reality in which knowledge, innovation, data analytics and insights on acute globally relevant governance issues is in **high demand**. The particular and distinct role of the Centre is conceived in this complex, volatile and rapidly evolving policy landscape. There is a need for a special entity, *distinct from, but connected to*, the programmatic structure of UNDP - **that explores, pre-empt, engages with and unpacks** global policy issues by dissecting these trends.

### Governance Challenges

Governance systems are highly contextual. There are numerous variables that come together to define them – legal structure, historical context, level of conflict & fragility, accountability measures and institutions, civil society presence and engagement, level of corruption, the nature of the public sphere, and so on. Yet, there are global challenges and trends that are near universal in relevance.

The heady optimism at the end of the 20<sup>th</sup> Century that the new century would bring about more effective, inclusive and accountable governance systems has subsided in the face of a range of complex challenges. These challenges are often interconnected and dynamic, including:

- **Repression and civil and political rights under threat.**<sup>5</sup> Many governments have become more repressive and accept democratic backsliding.
  - *Restrictions on Civic Space* – reduced room for freedom of expression and media freedom, over-regulation of civil society and limits placed on opposition political engagement;
  - *Rule Changes* – Creating an uneven playing field for political contestation;
  - *Undermining the Separation of Powers* – Measures to reduce the independence of the judiciary, the politicisation of legal processes and extra-judicial actions; and
- **Poverty and inequality increases, making the goal of leaving no one behind even more challenging.**<sup>6</sup> *Elite capture and exclusionary governance systems* – reduces the efficacy of poverty reduction strategies. These challenges are exacerbated by economic systems that have evolved to maximize financial value, often at odds with policy targets related to equity
- **Intensified global ideological contestation.** The world has become multi-polar, and there is no consensus on the ideal model of governance. This has resulted in greater contestation over how governance is delivered and legitimised. Preconceived notions are being challenged, which, in turn, has caused the need to re-evaluate how governance support is defined and implemented.<sup>7</sup>
- **A complex crises reality puts a strain on governance systems, at a time which needs true transformational change.** With climate, biodiversity, health, inequality, poverty and development crises unfolding in an interlinked and trans-boundary way, the demands on governance systems are intensifying. In parallel, citizens are concerned about the risks and

<sup>3</sup> In the context of this document, *global policy* should be understood as policy that pertains to, is relevant to or is induced from the basis of realities found in *more than one specific country or region*. Global policy can describe both the action or process of global policy, as well as objects or products that relates to global policy issues.

<sup>4</sup> For the purposes of this project, *Governance* is the system of values, rules, policies, procedures and institutions by which a society manages its economic, political and social affairs and that sets limits and provide incentives for individuals, organizations and economic actors. It is the way a society organizes itself to make and implement decisions – achieving legitimate agreement and action. It encompasses the interactions within and among the state, civil society and the private sectors and the mechanisms and processes for citizens and groups to articulate their interests, mediate their differences and exercise their legal rights and obligations.

<sup>5</sup> *Defending Civic Space: A Strategic Imperative for the International Community* (2019) Democracy Digest - <https://www.demdigest.org/defending-civic-space-a-strategic-imperative-for-the-international-community/>

<sup>6</sup> *Poverty is a Problem for Democracy – Focusing on Rights Can Help* (2020) Broadbent, A. & McIsaac, E.; Maytree; Toronto - <https://maytree.com/contact-us/>

<sup>7</sup> Pew Research Center 2021 Annual Democracy Survey - <https://www.pewresearch.org/global/2021/12/07/global-public-opinion-in-an-era-of-democratic-anxiety/>

fear for their security – limiting appetite for transformative change. Couple that with the need for large transformational action in our societies, and the formidable strain on governance systems and political leadership becomes very apparent.<sup>8</sup>

- **Conflict and increased incidence of violent political expressions and coups.** In September 2021, UN Secretary-General stated with concern that “coups are back”.<sup>9</sup> Since that statement there has been a further deterioration in the state of governance in several countries, caused by trans-national and internal conflict.<sup>10</sup> The World Bank has noted that by 2030 two-thirds of all those people globally who suffer from extreme poverty will be in fragile and conflict-affected situations.<sup>11</sup> Non-democratic and non-peaceful solutions to governance and territorial disputes has once again become commonplace. The extremely violent extension of the contestation of spheres of influence in Eastern Europe, is another profound example of violence applied as a means to change governance systems and political allegiances. However, there are also signs of a renewed energy and enthusiasm in the form of national and global social movements for the promotion and protection of democratic systems and the values that these systems uphold.
- **Declining Horizontal and Vertical Trust.** In many countries there has been a reduced level of trust in public institutions (vertical trust) and less social cohesion (horizontal trust), which has impacted on people’s commitment to open, accountable and democratic governance systems.
- **Political Polarisation.** The reduction in social capital, the proliferation of information pollution (as well digital manipulation, digital warfare, online abuse, harassment and disinformation) and the increase in economic inequality have all contributed to a more polarised population in many countries. In some cases, such polarisation has reached a toxic level<sup>12</sup>, which will, in turn, result in less room for inclusive dialogue and a greater chance of democratic backsliding in order to “win at any cost”.
- **Impact of Digitalisation on Governance systems’ legitimacy, procedures and connection to citizens.**<sup>13</sup> The transition to a digital society has created opportunities and challenges to governance systems. Digital tools will to an increasing degree make up the means that governance systems connect with its citizens and the other way around. While a growing digital divide is concerning, there may be ways to leverage digital so that democratic processes are improved. In addition, the regulation of digital is coming to the fore as a core governance challenge in almost all contexts.
- The **COVID-19 pandemic** has amplified many of the negative trends mentioned above. Where citizens have had trust in their governments, there has been a higher level of success in managing the pandemic.<sup>14</sup> The digital transition has been expedited by the demands of the pandemic. People have had their agency reduced and have been compelled to assume government decisions are in their best interest with little or no opportunity to engage in such decisions.

### UNDP’s Response

With the approval of its new Strategic Plan, UNDP is firmly set on an ambitious path. Yet the organisation needs to constantly evolve its systems and approaches to be able to improve on

<sup>8</sup> The 2022 HRDO notes that 6 out of 7 people globally (including those from highly developed countries) are experiencing a heightened level of insecurity.

<sup>9</sup> UNSG address to the 76<sup>th</sup> Session of the UN General Assembly (21 September 2021) - <https://www.un.org/sg/en/node/259283>

<sup>10</sup> Over the past year, the world experienced more coup d’états and irregular political transitions, inter-state conflict now in Ukraine, since the 90s. In 2021: Myanmar, Chad, Mali, Afghanistan, Guinea, and Sudan; in 2022: Burkina Faso, Guinea-Bissau

<sup>11</sup> <https://www.worldbank.org/en/topic/poverty/publication/fragility-conflict-on-the-front-lines-fight-against-poverty>

<sup>12</sup> See the following for a discussion on the impact of “toxic polarization”

<https://horizonsproject.us/good-vs-toxic-polarization/>

<sup>13</sup> German National Academy of Sciences Leopoldina, Union of the German Academies of Sciences and Humanities, German National Academy of Science and Engineering acatech (2021): Digitalisation and Democracy. Halle (Saale) - [https://www.leopoldina.org/uploads/tx\\_leopublication/2021\\_Digitalisation\\_and\\_Democracy\\_Summary.pdf](https://www.leopoldina.org/uploads/tx_leopublication/2021_Digitalisation_and_Democracy_Summary.pdf)

<sup>14</sup> COVID-19: TRUST IN GOVERNMENT AND OTHER PEOPLE LINKED WITH LOWER INFECTION RATE AND HIGHER VACCINATION UPTAKE (2022) BRITISH MEDICAL JOURNAL - <https://www.bmj.com/content/376/bmj.o292> REFERRING TO THE FOLLOWING STUDY: [https://www.thelancet.com/journals/LANCET/article/PIIS0140-6736\(22\)00172-6/fulltext](https://www.thelancet.com/journals/LANCET/article/PIIS0140-6736(22)00172-6/fulltext)

delivery. The new challenges to governance systems noted above will require new approaches and ideas and new methods of developing such ideas.

- UNDP needs to improve its capacity to systematically **harvest information, knowledge, insights and data** from its global network of country offices, policy engagements and regional hubs to **provide strategic analysis** that can work both upstream and downstream.
  - *Upstream*, to provide thought leadership that can spur innovation and promote global conversation on what governance systems will look like in the coming years. It also includes capacity to scan the horizon and collect and analyze governance data to identify emerging trends and to monitor challenges.
  - *Downstream*, to provide strategic guidance to the programmatic structure in UNDP, on issues of concern that influence on the impact of UNDP programs.
- The **integration** of governance support into all UNDP work is now a clear priority of the Strategic Plan, but breaking down the silos that exist and the reaffirmation of the need to collaborate and co-create will require new and multi-disciplinary approaches and capacity.

#### *UNDP Global Policy Centre for Governance*

Given the noted governance challenges and UNDP's renewed commitment to strategic capacity enhancement, the organisation is focused on establishing space for innovative thinking, strategic analysis and dialogue on matters related to governance.

The Oslo Governance Centre (Centre) was established in 2002. Since that time, its mandate has varied. Since 2014 the Centre has played a dual role of thematic leadership on key governance issues and external engagement of Nordic partners, has enabled the Centre to build a niche position in UNDP and in Norway. Over period of three years (2020-2022) a series of consultations and reports provided insight into how the Centre is perceived and options for how it may define its mandate going forward. This included a July 2021 report on all of UNDP's global policy centres that recommended a shift towards Centres of Excellence that have the resources and capacity to be global leaders in their field. It has also included a thorough horizon scanning of acute governance issues.

#### **Why Oslo?**

Notwithstanding the fact that the Centre has been based in Oslo since 2002, the Centre's location in Norway has provided added value to its work. Past evaluations have noted the value of the Centre being located apart from UNDP's Headquarters and regional hubs, providing space for theoretical or blue sky thinking and analysis. Its Oslo location has also allowed for the development of a more robust partnership with research institutes and academics in the Nordic region, as well engage more substantively with some of the most important core partners for UNDP.

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## **II. STRATEGY**

Building on the analysis of trends and gaps above, the following strategy outlines the **foundational, structural and thematic** bases for the UNDP Global Policy Centre for Governance in Oslo ("Centre"), its intrinsic functionalities, and its *modus operandi*.

### **1. Foundations for a new Global Policy Centre for Governance**

The Centre will not operate in isolation, but be entirely connected with UNDP, the UN system and the broader governance practice ecosystem. A set of documents and processes, below organised in three sub-points, are foundational to the Centre:

#### **a. UN standards, norms, and decisions – provide *raison d'être***

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The UN Charter, the United Nations Declaration of Human Rights and the international human rights frameworks provide the normative grounding for the work of the Centre. The Addis Ababa Action Agenda on Financing for Development, the Sendai Framework for Disaster Risk Reduction and the Paris Agreement on Climate Change are all critical guiding documents. An important normative basis for the focus of the centre is the Principles of Effective, Inclusive and Accountable Governance endorsed by the UN Economic and Social Council in 2018.

In addition, the 2030 Agenda for Sustainable Development, and the Sustainable Development Goals provide strategic orientation. The Centre will endeavour to contribute to the Decade of Action to accelerate progress towards the SDGs. Specifically, the project is designed to focus the work of the Centre on the achieving of the SDGs, with particular emphasis on SDG-16 and the relevant targets. But, depending on the specific lines of inquiry or areas of research, potentially all 17 Goals can be relevant to its work.

**b. UNDP Strategic Plan – provides a license to operate and a strategic framework for the Centre’s activities**

The UNDP Strategic Plan 2022-2025 is the primary strategic reference directive for the Centre. The logic of the Plan is structured around three directions of change, six signature solutions and three enablers. The directions of change – which also provides the principal logic for defining the Centre’s activities (see below) - are:

- *Leave No One Behind* - a rights-based approach centered on empowerment, inclusion, equity, human agency and human development capabilities;
- *Structural Transformation* – including green, inclusive and digital transformation that addresses underlying development challenges that will result in new systems and structures; and
- *Building Resilience* – strengthening capacity to prevent, mitigate and respond to diverse risks including crisis, conflict, natural disasters, climate and social and economic shocks.

To reach these broad goals, UNDP will focus on six *Signature Solutions* that will be the focus of its work: Poverty and Inequality; Governance; Resilience; Environment; Energy; and Gender Equality. The Centre will naturally have a particular focus on supporting the signature solution on Governance. However, governance related issues permeate all, which means that the centre works across all signature solutions.

**c. UNDP Global Programmes and Integrated Offers of the Global Policy Network (GPN) – provide grounding and docking for the Centre’s outputs**

As UNDP global thematic work is primarily delivered through *global programmes and projects*, the Centre will work to contribute to outcomes defined in *three* particular global programmes: *the Global Governance Programme (expected mid-2022)*, *Global Programme on Conflict Prevention, Peacebuilding and Responsive Institutions* and *Global Programme for Strengthening the Rule of Law, Human Rights, Justice and Security for Sustainable Peace and Development*. As research and engagement agendas are defined (process described below) for the Centre, these will refer explicitly to how they will support the outcomes or outputs of these global programs.

In addition to the global programmes, the GPN *integrated offers* – on *governance, poverty and inequality, resilience, environment, energy, gender, digitalization, innovation and sustainable finance* will all be considered in designing the research and engagement agendas and lines of inquiry (described below). As a last set of internally produced documents that will form the foundation of the Centre are the Knowledge Management Strategy, the Gender Equality Strategy and the Digital Strategy.

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Based on these foundational and strategic documents, the Centre will provide knowledge, insight, solutions and data analytics to catalyse all three directions of change.

## 2. Transitioning to a future-ready global policy centre for excellence in governance

In its 20<sup>th</sup> year of existence, the global policy centre for governance in Oslo will be re-invented. Critical to the logic of the new Centre is the conception of two specific areas of intervention that will enable the Centre to play a more effective role within UNDP's Global Policy Network (GPN). First, the Centre will provide *strategic programme guidance* through the provision of advisory, knowledge, data and insights that can help improve the design and implementation of governance programming. Second, the Centre will provide *thought-leadership and engagement in the global discourse on governance issues*.

It is critical that a global policy centre in a programmatic organisation like UNDP maintains this two-pronged approach to provide value in both directions. To better create a centre that can do that, its internal logic and functions have been re-thought. This part of the strategy must be read in conjunction with the third ("Reinventing the hardware of the centre") - and fourth part ("Reinventing the software of the centre"). In combination they create a **coherent hardware (functional structure) and software (thematic areas) structure that will enable the Centre to deliver efficiently and effectively for both service-lines**.

The Centre is one of several global policy centres in the UNDP system. It is implicit that a global policy centre must **add a distinctive quality or function to the whole**. As such the *following set of four principles* have guided the concept development of the Centre. These emanate from extensive internal and external consultations, mappings, and reviews.

*First*, the Centre will have two specific areas of intervention that include a) an ambition to both improve programmatic impact as well as b) create thought-leadership and policy engagement at the global level.

*Second*, the Centre will have specialized functions and responsibilities distinct from the standard programmatic modalities UNDP, including HQ-based functions. Functions in the programmatic support modalities are thus not necessarily transferable to the Centre, and vice-versa.

*Third*, the Centre must be *distinct from*, but *intrinsically connected to* UNDP's programmatic modalities. Critically, the Centre should avoid direct country-level support functions, but must engage in providing guidance on strategic level issues that is part of the area of competence (research agendas) of the Centre.

*Fourth*, in many instances, the "flow of support" is reversed in the case of a policy centre tasked with developing the basis for thought leadership. To become a Centre for excellence in governance, to connect research, policymaking and practice, and position UNDP in the lead in the global discourse on critical governance issues – *UNDP field staff (country level; regional) must provide insight, knowledge, data, and analysis from the country level to the Centre*. Only then is it possible to induce and abstract global policy to impact on discourse on a global level – and provide thought leadership. In addition, when designing research agendas, the Centre is dependent on the active engagement from the programmatic structure to tune the thematic thrust in a manner that creates value-addition.

The structure of the Centre – its hardware and software - is designed on the basis of these four principles.

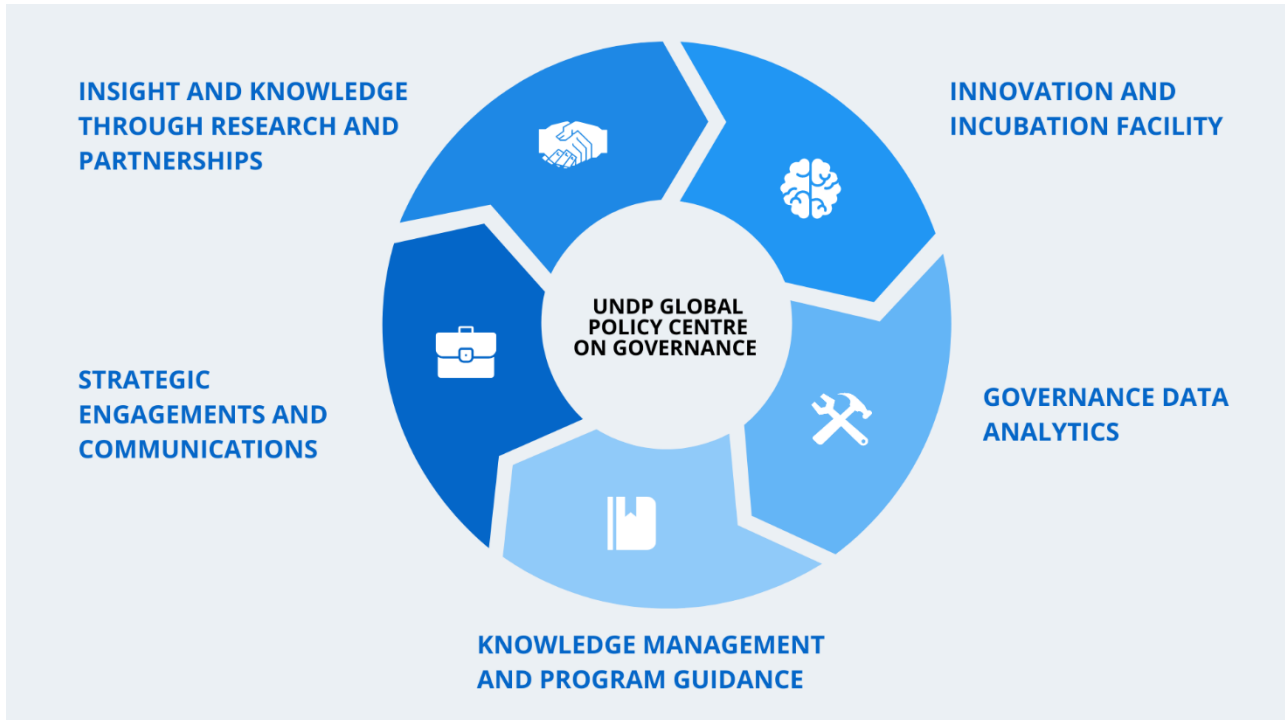
## 3. Reinventing the hardware of the Centre, making its required functions also its core logic

The global policy centre in Oslo will thus, in line with the recommendations in the internal "*Global Policy Centre Mapping and Analysis, May 2021*", evolve into a centre of excellence and provide programmatic guidance and thought leadership on governance issues. An important consequence



of the above is that the Centre will change its focus from *thematic orientation* to *organising by specific functions*. Extensive consultations have brought out *five distinct functions* that the Centre needs to maintain and perform. These functions enforce and support each other. They also form the basis of the Centre's five output statements and results framework. The functions are listed here, and further detailed in the Results and Partnerships section.

- a. Insight and knowledge generation through research and partnerships
- b. Governance data analytics
- c. Innovation and incubation facility
- d. Knowledge management
- e. Strategic engagements and communications

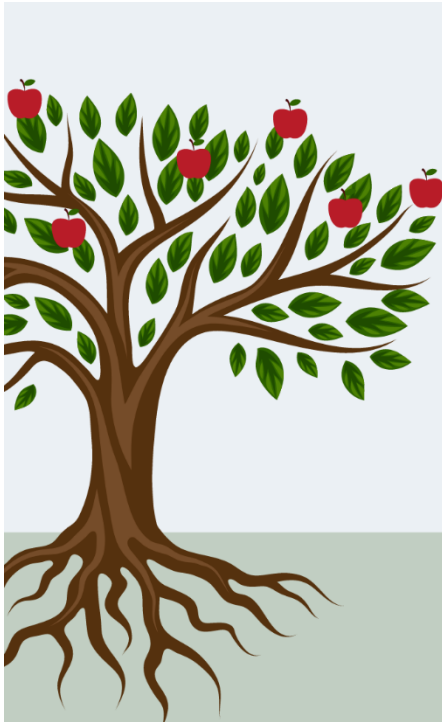


#### 4. Reinventing the software of the Centre – the process for selection of thematic thrust

A critical success criterion for a global policy centre, is its ability to *correctly invest its research and analysis in thematic foci where there is identified demand*. Knowledge and insight are produced through dedicated resource and knowledge management, and sharp partnership strategies. It will also require the Centre to be *routinely engaging UNDP governance team leaders and programme and project managers to ensure the Centre's research is well-aligned with, gain insight from and works in support of their work*. The carefully conducted selection of *thematic thrust* of the centre is the most important determinant of success. Consequently, this section of the strategy goes into some detail on *the conceptualisation of such a process – the logic of selection and the different levels of decision-making*.

It follows from the above that the Centre will move away from specific thematic areas as defined in a project document. It will identify demand and respond. It also follows that the Centre as a rule will not take on any particular “thematic global lead” responsibilities per se. Exceptions to this rule can be made in instances where the thematic area in question is particularly characterised by global policy engagement, research, data analytics or innovation activities.

The below “knowledge tree” diagram is used to visualise the three-step process for selection of thematic thrust.



- **Fruits: outputs**
  - Specific knowledge products
  - Data tools and analysis
  - Innovation insights
  - Specific events and public engagement
- **Twigs: specific lines of inquiry**
  - Research questions developed by centre's staff
- **Branches: the broad research and engagement agendas**
  - As defined on an annual basis by the Project Board
- **Tree Trunk: outer boundaries of the project**
  - All research agendas support the 3 directions of change as defined in UNDP's Strategic Plan.
- **Roots: sources of demand**
  - Sourcing and sensing demand from programmatic staff, strategic leadership, partners and governance stakeholders.

#### a. The sources of demand (the roots)

Gauging demand is a critical effort for a global policy centre – in order to narrow down its focus and provide insight and knowledge that is perceived as novel and useful. Staff at the Centre continually survey the demand for a specific *research agenda* or *line of inquiry* – from essentially six sources:

1) *Programmatic staff* – the Centre will regularly engage with regional hubs (particularly the governance and peace building teams), COs and engage communities of practice to get an updated sense of emerging issues and particular gaps in knowledge and analysis as seen from the country level. It will also harvest data from UNDP's sources, such as STARS and ROAR, to identify potential areas of focus in its work. Systematic light-touch surveys and targeted interviews with key country offices may also help in identifying specific demand. Access to program data, M&E data and country level analysis, as appropriate, will add depth to the process of identifying policy and knowledge gaps. The Centre will focus primarily on issues that affect multiple countries and regions and seek to better understand and identify responses to global governance trends.

2) *Strategic leadership* – as the Centre is tasked with providing a basis for thought leadership on governance issues, a regular check in with the UNDP senior leaders is needed to identify gaps in policy development.

3) *Funding and implementing partners* – in particular “partners at core” and contributors to this project, will be surveyed, as needed, to understand their key issues of concern in the governance sphere. Through ongoing partnerships and collaboration with external governance practitioners, the Centre will gain insight from their work.

4) *UN Secretariat and other agencies* – through the routine engagement of UNCTs and inter-agency working groups and task forces, the Centre will absorb the findings and analysis from the UN system.

5) *Governance Stakeholders* - Relevant external networks, including researchers, practitioners, policy-makers and other stakeholders in the field.

6) *Autonomous identification* – the Centre staff will, based on their own expertise, make a determination of policy and knowledge gaps through regular horizon scanning and by utilising an active network of partners.

#### b. The boundaries of the project's work (tree trunk)

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While it is important that the Centre has a wide range of possible research agendas, its outer boundaries of its research universe must be given by *this project document*. Naturally, as defined in section 1 of the strategy, anything the Centre concerns itself with must be in support of the Strategic Plan. The most useful organizing principles from which to *derive and categorise the specific research agendas* are the three defined directions of change that UNDP is to contribute to and how these directions are to be addressed through the Strategic Plan's Signature Solution on governance.

By approval of this project document, these three *broad research and knowledge avenues* form the *first level* of the selection of thematic thrust for the Centre. The three directions of change are:

Structural transformation: including green, inclusive and digital transitions: working with countries to effect change in governance systems and institutions that provide for design and deliver public goods and services.

Leaving no-one behind: a rights-based approach that ensures rights and equity in digitalization and innovation; addressing racism and discrimination; and empowering women and youth.

Building resilience: strengthening national, sub-national and local governments and institutions to prevent, mitigate and respond to crises so as to be able to provide public goods and services in a manner that allows for the understanding and management of risks.

Through aligning with the three directions of change, as defined by the strategic plan, three broad *research and knowledge avenues have been identified*. However – as a Centre with limited resources, these three avenues are not sufficiently concrete to be able to define *specific research and engagement agendas*.

### c. Definition of research and engagement agendas (the branches)

In this context, a research and engagement agenda is document that describes a broad thematic focus area that pinpoints a set of gaps in knowledge, data or insights. In consulting for this project document, a set of *potential research agenda top-line headings* have been identified<sup>15</sup>, shown in footnotes to illustrate.

A workable *research and engagement agenda* should, among other things – be designed according to demand (as described in 4a.), reflect the priorities in agenda 2030, describe a set of over-arching knowledge and insight gaps, roughly lay out the methodology, provide a description of type of partnerships to engage and an explicit reflection on how the particular *research and engagement agenda* contributes to the outcome and output statements in the results and resources framework.

While it is important that *research and engagement agendas* are adaptive and flexible, they should be sufficiently long-term for the Centre to build the appropriate research partnerships, procure and hire the right expertise and design research loops that allow for learning across different lines of inquiry within the same research and engagement agenda.

Critically, the definition of and decision (or re-affirmation) on research and engagement agendas are done by the Project Board on an annual basis. In this way, the project board has an important say in how the operational focus of the centre is shaped.

### d. Definition of specific lines of inquiry (twigs)

In step two (described immediately above) of the process towards defining the thematic thrust of the centre, the Project Board decides on specific *research and engagement agendas*. These agendas

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1. **Public administration**, including fair and inclusive green transition, aspects of digitalization of governance, strengthened social contracts and regulation of economic systems to be more stakeholder focused
2. Integrity, accountability, and transparency in **public domestic resource mobilization** – including anti-corruption
3. **Inclusive public sphere**, including civic space expansion and ways of improving information integrity and combatting misinformation
4. **SDG 16 measurement and interlinkages** with broader Agenda 2030
5. **Inequality- trust, social cohesion, inclusive social contracts** as root causes of conflict and determinants of effective, inclusive and accountable governance

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are broad and allow for numerous kinds of *lines of inquiry* – or *sets of research questions*. Defining specific lines of inquiry is step three in this process.

This particular step will be done by centre staff in collaboration across the governance global team and the wider Global Policy Network as and when needed. The lines of inquiry leads to specific products or engagements (the fruits).

#### e. Partnerships and communities of professionals shaping the thematic thrust of the Centre



The Centre will retain a focus on applied research. It will aim to involve three constituencies in responding to any line of inquiry. *Policymakers* are a key target as well as a source of information for the Centre. *Governance practitioners* serve to understand the insight, knowledge or data in light of real-world realities and context. *Researchers* create a depth and robustness in the Centre's response to the lines of inquiry. Any line of inquiry or product from the Centre need at some point in its production process to have been influenced by all these three groups of professionals.

As a Centre inside UNDP, it is in the privileged position of having ample access to *governance practitioners*. However, a specific strategy to create a pool of experienced and insightful practitioners will be created from which the Centre can draw upon knowledge and work collaboratively.

On access to and engagement with *policymakers*, the Centre will utilise UNDP's convening power to draw in policymakers on a regular basis, particularly through its *strategic engagements function*. It will also utilise its relationship with regional hubs and COs to draw on their knowledge of potential policymakers. The Centre will work closely with UNDP Regional Hubs and country offices to identify expertise across different regions, including to reach out to relevant policymakers, practitioners and research institutions. As the Centre has the role of working on frontier issues and be a forum for discussion and debates on potentially politically sensitive issues, the Centre will consult UNDP Regional Hubs and Country Offices to mitigate any risks that may arise in exploring critical and potentially controversial governance issues.

As the Centre's research for the most part will be dependent on forging high-quality partnerships with researchers, research institutions and knowledge ecosystems external to UNDP, a specific partnership strategy will be developed. It will employ a *tiered approach*, where a group of top-tier partners will consist of a select number of particularly relevant counterparts.

The top-tier partners will be offered to sign MoUs and Long-term Agreements which define a long-term working relationship based on trust and mutual investment. In selecting the top-tier partners<sup>16</sup>, they must be sourced in from three particular groups:

- a. Global South: The Centre will approach several well-renowned research institutions in the so-called Global South, in some cases on advice from country offices, with a goal of ensuring geographic distribution.
- b. Particularly influential and Innovative Research Institutions: A select few top-tier partners will be identified based on their outstanding status and track-record in relation to the research agendas of the Centre.
- c. Nordic Partners: Having established several partnerships since 2014, the Centre will select a few as top-tier partners. At the minimum one institution from each Nordic country will be selected.

#### **A Gender Approach to Governance Ideas, Knowledge & Insights [needs new critical appraisal by gender team]**

The Centre is committed to identifying, developing, testing and promoting governance solutions in line with UNDP's new Gender Equality Strategy. The adoption of a gender approach to the Centre's work seeks to challenge discriminatory social norms that devalue individuals based on their gender. This requires moving beyond seeing women as participants or beneficiaries to actors and agents of inclusion and integration, progressively challenging the norms – without alienating. It shapes with whom the Centre will partner with and how and requires much more gender analysis in the design, implementation, monitoring and learning with regard to the governance solutions developed. Finally, it enables the Centre to apply an approach that has a clear intention to focus on and address systems with unequal power including:

- 1. The need to better address the root causes of gender inequality** in our governance support giving more attention to changing discriminatory institutional and social norms, and ensuring participation in public life, including in decision making spheres. This requires the Centre to deepen the analysis of context-specific attitudes, stereotypes and perceptions of the role of all individuals in governance and the factors that prevent women's and other vulnerable groups<sup>17</sup> political participation and empowerment while investing in effective strategies and approaches that address these barriers.
- 2. Prioritizing partnerships with governance researchers and other stakeholders, including feminist groups and movements and supporting strengthening of networks between groups.**
- 3. Ensuring intersectionality is part of how we work on gender equality.** Several evaluations have noted UNDP's failure to adopt an intersectional perspective which further discounts the multiple intersecting forms of discrimination and violence experienced by women, girls and LGBTQIA+ people and subsequently continues to reinforce deep-rooted inequalities.
- 4. Investing in more and better disaggregating, with emphasis on gender.** Taking advantage of UNDP's custodianship of several global SDG-16 indicators, the Centre will facilitate countries in producing and disseminating disaggregated data and gender sensitive analysis. The Centre will also make every effort to ensure all data collected and disseminated takes into account other vulnerable groups and ensures that they are

<sup>16</sup> Research partners will include think tanks, academia and iNGOs conducting research.

<sup>17</sup> Vulnerable groups are defined as per the [2030 Agenda for Sustainable Development](#)

accurately reflected on data production to promote evidence-based decision making towards peaceful, just and inclusive institutions.

### *Theory of Change*

The project seeks to contribute to strengthening inclusive, accountable and responsive governance systems and to empowering people to actively participate in governance systems and processes (development outcome). The Centre's contribution rests on the understanding that, to create transformative change for inclusive, accountable and effective governance systems, policymakers need cutting edge research, analysis, and insights (project outcome). As other parts of UNDP involved in governance policy development and operations often lack the time and capacity to provide this knowledge, the Centre has a critical complementary role to play, namely in providing high quality research, data on governance and the possibility to innovate and learn, underpinned by effective knowledge management as well as strategic engagements and communications (outputs)

**Vision:** The Centre will be an influential actor, internally and externally, in shaping governance focused development policy and discourse that strengthens effective, accountable and inclusive governance globally.

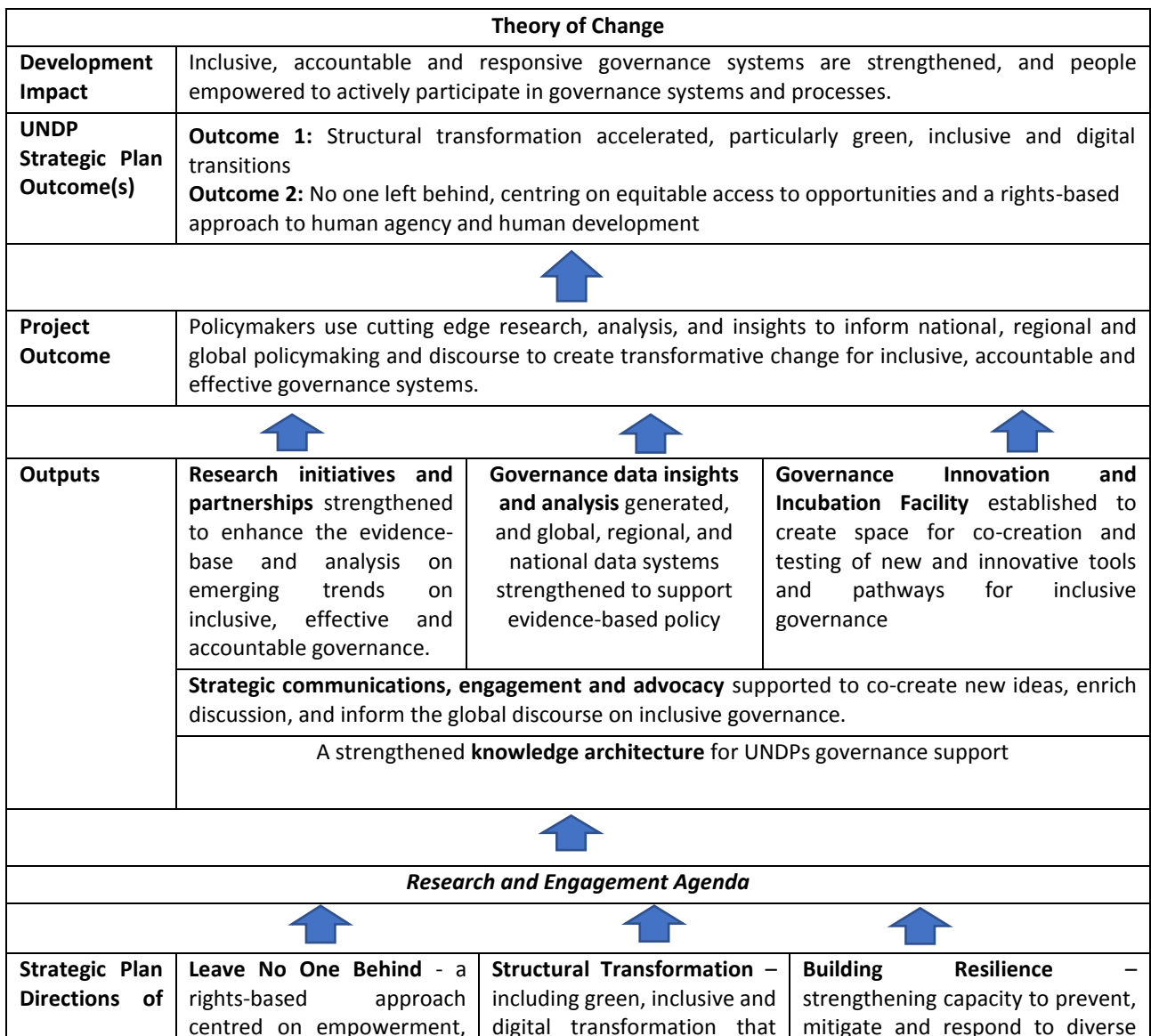
Given the above analysis and the direction defined by UNDP and UN strategic documents, the Centre will evolve into a Centre for Excellence in governance issues, in keeping with the ambitions in UNDP's strategic plan. This means the Centre will be **a conduit of frontier research, a convener of new ideas, a curator of empirical evidence, a connector of disciplines, a conversation starter in public, and a meeting space for researchers, policy makers, and practitioners**. The Centre will contribute to global governance discourse as an important source of insight to stimulate thought leadership on governance issues in UNDP.

This vision of the Centre will be achieved through the implementation of key reforms and enhancement of capacity of the Centre. At a systems level, the Centre will be placed in a strategic position within UNDP as a central source of knowledge management on governance. At a structural level, the Centre will be administratively located as part of the Bureau for Policy and Program Support but will support the whole of the Global Policy Network. At an operational level, the Centre will have a core staff allocation that will allow it to manage its internal and external roles.


#### **What success looks like?**

- UNDP governance portfolios designed and implemented based on:
  - Coherently applied tools and approaches;
  - Systems analysis;
  - Context-appropriate interventions; and
  - Access to lessons learned within the organisation to allow for effective adaptability.
- UNDP facilitates and leads on developing new ideas to address governance issues
- UNDP has robust partnerships in co-creating new governance ideas, knowledge and insights
- Space (physical & virtual) is created for
  - Identification, development and incubation of new and innovative governance tools; and
  - Candid dialogue, to contest "accepted wisdom" and to dismantle echo chambers
- Differentiated and politically informed governance offers for different contexts
- More innovation in programming and policy to adapt to trends, anticipate and manage risks, understand and work with different sources of power, and particularly focused on gender equality, localisation, digital, data and analytics
- Select UNDP staff have space and time to provide inputs and to collaborate on strategic analysis and macro solutions to governance issues

- Refined analytical tools and programme delivery processes which allow for co-design and co-delivery with national and international partners
- More impactful cross-UNDP global policy development on governance
- Effective and accessible knowledge management system for sharing analysis, enhancing benefits of tools, networks and learning
- Thought leadership enhanced through cutting edge governance research
- Enhanced foresight of governance trends and horizon scanning supports more anticipatory programming
- More effective and strategic engagement with UN and multilateral partners on governance and a refreshed engagement with partners seeking new opportunities and cooperation
- Strong and active partnerships with key governance actors globally, including civil society organisations, other multilaterals and bilateral agencies that implement governance programmes, as well as with academics, think tanks and non-state actors to co-create and develop governance ideas, knowledge and insights



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<b>Change/Lines of Inquiry</b>	inclusion, equity, human agency and human development capabilities.	addresses underlying development challenges that will result in new systems and structures	risks including crisis, conflict, natural disasters, climate and social and economic shocks.
 <i>Underlying Assumptions</i>			
<i>IF...</i>	Generating the research and data on the role of inclusive, accountable and effective governance systems can contribute to countering global backsliding on human rights and gender equality; Evidence-based and data-driven decision-making is prioritized by global, regional and national actors to inform policy making; New and innovate tools and approaches can be identified to address multiple, intersecting challenges across economic, social, environmental and governance spheres Access to lessons learned, systems analysis, political analysis and practitioner networks can inform UNDP governance programme design and implementation; Creating space for public discussion and debate on governance challenges informs new ideas, partnerships and approaches;		

### III. RESULTS AND PARTNERSHIPS

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

This project is organised around *a single outcome that is divided into five outputs* – three outputs that define the *core functions of the Centre* and two *enabling functions that ensures wider impact inside and outside UNDP*.

**Outcome: Policymakers use cutting edge research, analysis, and insights to inform national, regional and global policymaking and discourse to create transformative change for inclusive, accountable and effective governance systems.**

The Centre will service and advice the UNDP programmatic structure and strategic leadership. *The functions defined above will form the basis for outcome areas to be defined as part of the Centre's integrated results and resources framework.* The output areas will primarily be aligned with the outcomes defined in the Governance Global Program and in support of the Strategic Plan indicator 3.1 (Knowledge generated, connected and shared, to strengthen policies and programmes leveraging UNDPs thought leadership).

**Output 1: Research initiatives and partnerships strengthened to enhance the evidence-base and analysis on emerging trends on inclusive, effective and accountable governance.**

The Centre will leverage strong partnerships with key knowledge and research institutions to create and disseminate knowledge and insights. Annual workplans approved by the Project Board will specify *research and engagement agendas* based on UNDP and partner priorities, from which specific *lines of inquiry* will be formulated. When the Centre commissions or amplifies research, it must contribute to the *dual goal of strategically informing programming as well as provide insight that can inform UNDP thought leadership*. The *research through partnership* function entails a constant horizon scan for new and emerging governance issues and cutting-edge knowledge. As an insight and knowledge generator that focusses on applied research, the Centre will connect



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practitioners and policymakers to researchers, and act as an arena for testing theory against practice.<sup>18</sup>

#### Key Activities:

- Conduct, build on or amplify research on select emerging ideas as identified through data analytics and from other sources of knowledge and evidence
- Upstream research to inform UNDPs work on governance and the impact of emerging trends
- Downstream research on strategic governance issues that impact programming
- Building partnerships with key academic, think tank and related institutions
- Provide a conduit for lessons learned on programming to support inclusive governance
- Facilitating greater access to sex disaggregated data to inform gendered governance analysis and research

### **Output 2: Governance data analysis generated, and global, regional, and national data systems strengthened to support evidence-based policy**

The Centre will, through its work on governance data and analytics, facilitate access to data and statistics, methodologies and research to inform evidence-based policy making to address structural governance issues that impede the achievement of sustainable development. This will also be linked to the corporate strategies including the Digital Strategy, the Data Strategy and contribute to global platforms and dashboards.

The Centre will help generate analysis and insights on countries that are making progress on different dimensions of governance, support the development of internationally comparable methodologies for governance data collection and reporting, support collection of timely, reliable and quality data on governance and enable access to cutting-edge research and analysis. It will have a particular focus on supporting data collection, reporting and capacity development on UNDP custodian indicators for SDG 16 (on participation and representation, inclusive and responsive decision-making, and access to justice) and supporting the implementation of the SDG 16 Survey Initiative with UN partners.<sup>19</sup>

Partnership with external actors will be pursued to support collaboration on data analysis on governance related themes and to conduct modelling and forecasting of governance trends, including the use of gender impact analysis. The Centre will also explore innovative data approaches, including use of non-traditional data sources, citizen generated data, analysis of big data, social media sentiment analysis, use of geospatial data, public opinion surveys, to complement official data sources on governance.

The Centre will aim to strengthen the engagement with National Statistics Offices on governance measurement, in partnership with UNDP country offices and regional hubs, to inform evidence-based policy making on governance issues. This includes supporting capacity development (e.g. through regional virtual training programmes and national workshops), engaging in support on implementation of the SDG 16 Survey Initiative, support to reporting on UNDP custodian indicators on SDG 16. To strengthen global methodologies on governance measurement, Centre will support the *Praia Group on Governance Statistics* to develop tools and methodologies on measuring governance. This includes facilitating task teams led by NSOs to develop and test out tools in different development contexts to measure different dimensions of governance.

#### Key Activities:

- Data analytics on specific inclusive governance themes, including for nowcasting/forecasting and development of policy briefs and insights drawing on the data generated

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<sup>18</sup> Research, knowledge and data sharing policies will be aligned with UNDP standards.

<sup>19</sup> The collection of data related to custodian indicators under SDG-16 will likely result in the identification of research opportunities related to such data.

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- Support the capacity and provide technical support to National Statistical Offices, in partnership with UNDP country offices and regional hubs, on governance related data
- Develop tools and methodologies for the use of innovative data strategies for governance measurement, in both conflict/fragility and non-conflict contexts, and work with UNDP country offices to test and finalize tools.
- Facilitate the development of global standards on governance statistics, including through support to the Praia Group on Governance Statistics
- Conduct gender impact analysis as part of broader data analysis and support collection of sex-disaggregated data
- Uphold UNDP’s custodianship role on four SDG 16 indicators (16.3.3, 16.6.2, 16.7.1 and 16.7.2) and supporting annual reporting and collection of data on the indicators.
- Production of an annual flagship publication – *Global State of Inclusive Governance*, or similar

### **Output 3: Governance Innovation and Incubation Facility established to create space for co-creation and testing of new and innovative tools and pathways for inclusive governance.**

The Centre will continue to offer a platform for exploring emerging governance areas and to address multifaceted and interlinked governance challenges. This platform will build on experience from incubation functions previously executed by the Centre (e.g. - information integrity and preventing violent extremism workstreams) and by connecting the Centre with the *Strategic Innovation Unit and the Accelerator Labs* within UNDP. The Centre will develop a very specific, lean, and predictable methodology for innovation and incubation of new governance issues. Working closely with key thematic leads across the UNDP Global Policy Network, the Centre will test new governance approaches that explore broad transformational change (in line with the UNDP strategic plan). By co-creating new tools and governance ideas, knowledge and insights with governance team leaders, the Centre will ensure programmatic “ownership” of the new approaches and will work collaboratively throughout the process to maintain such ownership.

When opportune, and in collaboration with COs and regional hubs, the Centre will pilot methodologies to be able to extract learning and provide advice. The Centre will also draw upon external capacities and expertise through partnerships with relevant innovation ecosystems.

*“As UNDP looks to the future, it sees development increasingly as co-creation and co-investment in global public goods, not a one-way transfer of resources or assets. Reaching the aims of the 2030 Agenda demands collective action and investment. Governments and UNDP need to develop dynamic, anticipatory, inclusive ways of working that can flex to cope with constant change and respond to empowered, digitally connected citizens. The next four years will see UNDP, its people and its partners building those capabilities and co-creating a better future for everyone.”*

UNDP Strategic Plan (2022-25); para. 88

#### **Key Activities:**

- Build on select emerging trends and research conducted to produce practical tools and governance knowledge to decipher and explore emerging governance issues
- Create space – physical and virtual – for UNDP staff to co-create (both with other UNDP staff and external partners) governance ideas, knowledge and insights and new models for governance support
- Support the piloting of new and innovative tools, modalities and approaches implemented by regional hubs and COs

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## **Output 4: A strengthened knowledge management architecture for UNDP's governance support**

This output is a key enabler for the three core functions of the Centre outlined above. The Centre will implement a knowledge management (KM) system for UNDP related to governance issues. This will be done in accordance with UNDP's Knowledge Management Strategy, supporting its three objectives in the governance domain: establish dynamic knowledge networks that drive a culture of learning; amplified development impact through real-time application of knowledge; and world class thought leadership on emerging development issues.<sup>20</sup> It will fully leverage the Communities of Practice and engage UNDP's Accelerator Labs to support the scaling up of ideas, knowledge and insights.

The Centre will be a key knowledge engine in UNDP and learning hub for governance policy issues. In line with the best industry standards the Centre will engage in the capture, analysis, and curation of the organisation's collective knowledge. It will also establish an innovative one-stop online platform on knowledge and engagement across UNDP's thematic Communities of Practice (CoPs) (e.g. - the current [SDG16 Hub](#)) and develop new ways of disseminating UNDP's knowledge and insight to the UN Development System in keeping with the UNDP knowledge management strategy.

The Centre will explore new knowledge frontiers with cutting edge technology. AI-powered tools may enable the analysing of large data sets at a global level, unstructured data at scale (e.g. newsfeeds, websites, articles, etc.), and automation of the production of insights and horizon scans. Using cutting edge technology and applications to strengthen the **digital knowledge architecture** will be a key focus. Investment in programs like *Viva* and alongside that updating the taxonomy, properly tag content and curate topics.

### Key Activities:

- Maintenance of a knowledge base or portal where curated governance knowledge related to the organization is hosted for the easy use of development practitioners.
- Production of knowledge materials and products to support UNDP governance programming and strategic planning,
- Potential convening activities to foster learning and knowledge exchange:
  - Annual internal flagship conference on governance – challenges, trends and new approaches – for UNDP, other UN agencies and external stakeholders (i.e. – academics, think tanks, practitioners, governments, civil society)
  - Expand fellowship programme at the Centre to allow space for UNDP governance practitioners to access short-term opportunities for research and collaboration (as it has done in the past).
- Creation of collaboration spaces for:
  - UNDP CO SMTs on important strategic governance issues
  - Co-creation of governance ideas, knowledge and insights amongst UNDP staff, external experts and researchers.
- Monitoring and evaluation of knowledge products' use and impact

## **Output 5: Strategic communications, engagement and advocacy supported to co-create new ideas, enrich discussion, and inform the global discourse on inclusive governance.**

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<sup>20</sup> UNDP's Knowledge Management Strategy (2022)

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Strategic communication is a centerpiece of establishing the Centre. Dedicated resources to ensure media engagement is critical. Messaging from the Centre can be more exploratory and less “polished” than UNDP corporate communications (through a special communications mandate confirmed with the Administrator) – in order to create specific engagement. The Centre must be a conversation starter that engages the public and key stakeholders in an open debate on how to solve the acute governance issues of our time. This will be achieved through a communications strategy that provides guidance and clarity on the tools to be used. The end result will be a Centre that will have the space to be an engaging and at times controversial conversation-starter.

The Centre will strategically engage governance policymakers, practitioners and researchers in constructive conversations and create arenas for open and honest debate. The strategic engagement strategy will emphasize the importance of bringing out a plurality of voices and opinions on key governance issues. The Centre will utilise the convening power of the UNDP to create high-level, high-energy meetings between practitioners, policymakers and researchers – to forge co-creation and partnerships.

#### Key Activities:

- Produce and implement a communications strategy that promotes the work of the Centre and encourages discussion on governance ideas, knowledge and insights in the media
- Be a clear and bold communicator of key governance issues, and start conversations on solutions.
- Convene partners on a routine basis to share knowledge and lessons learned from their work on governance
- Create a specific methodology for debate and conversation on controversial governance issues, and provide an arena for that conversation to happen

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

The funding required to procure these resources is articulated in the Multi-Year Work Plan in Section VII of this document.

Critical for the Centre a minimum of core financing that allows for the five functions to operate at a basic level. This particular model for the Centre requires a larger base cost than previous iterations – for this precise reason. The logic of the interlinked functions will only be possible to utilize if the functions are resourced and staffed.

The Centre will be reliant on the time investment from all partners, but in particular of those on the project board. The model for deciding on specific *research and engagement agendas* requires an active and invested board membership.

The Centre cannot function without relying on a pluralistic, deep and strong partnership portfolio of research institutions. As such it is dependent on the networks of COs in identifying the most promising partners for joint work on research, data and innovation.

#### ***Partnerships***

As an applied knowledge hub, which plays a bridging role between research, policy and practice, the Centre will work collaboratively with many external and internal partners. Stakeholders are engaged formally and informally through a variety of mechanisms, depending on the context.

**The most important part of the external partnership engagement is described in paragraph 4a. under the “Strategy” section above.** For UNDP and UN system partners;

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**UNDP Regional Hubs** are key internal stakeholders, and both partners and targets of the work of the Centre. Many initiatives will be undertaken jointly with the regional hubs, which benefit from the Centre's global research networks and overview to inform their provision of advisory services. The Centre, in turn, draws on their deep regional knowledge, research partnerships and proximity to the programming needs of COs.

**UNDP Country Offices.** UNDP Country Offices are target groups of the knowledge produced and, through them, the Centre's work can best influence the work of governments and other national stakeholders. The Centre will engage COs indirectly, through its engagement of RBx, BPPS, Crisis Bureau and regional hubs – and may in some instances explore piloting methodologies as described in the innovation function above.

**UNDP BPPS/CB/BERA and Regional Bureaus.** The Centre works in partnership with a number of other teams and groups, within UNDP, including BERA, the Regional Bureaus and other global policy centres. The strategy for engagement varies depending on the issue and purpose. The RBx and BERA sit on the Project Board and engage with the strategic direction of the Centre through that mechanism.

**Other UN agencies and entities.** The Centre will collaborate with other UN agencies on an issue-specific basis. It will engage with UNOHCHR, UNODC and UNESCO systematically, for example, in relation to its custodianship of SDG16 indicators. It will work with the Joint Programme on Conflict Programme (UNDP/DPPA) on the fellowships. It will also consult with UNWOMEN in relation to its gender work, as well as UNICEF and UNESCO.

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

Risks for the Centre exist both internally and externally. The primary risk surrounding the work of the Centre is the changing development priorities at global, regional and national levels, that may affect engagement on governance issues. This has significant policy implications as well as potential risks in terms of financial resources. The wider development policy environment is particularly volatile and responding to massive shifts in development priorities at local and international spaces. While the centrality of governance issues in development is recognized, the scale of global challenges may shift policy and financial investment. Engaging in early horizon scanning to identify critical governance issues, working flexibly to respond to constantly changing contexts, and linking to regional and country to understand priorities and learn from experiences are critical risk mitigation measures the project will adopt. Working through partnerships with knowledge partners in the North and South will also help to identify emerging issues and policy priorities at an early stage.

Internally, UNDP's priorities are clearly articulated in the Strategic Plan and this project is strongly anchored within it. However, the adoption of new approaches including those based on innovation and data-driven approaches, may take time to be instilled within the organization. The Centre will work to promote a culture of learning and knowledge sharing including through a strong focus on knowledge management and promoting approaches to co-create solutions to complex development challenges. Building a comprehensive knowledge and communications strategy on governance will help to strengthen the outreach of the research and data work of the Centre as well as promote capacity building within the organization itself to better understand and use governance data, research and pilot innovate approaches to governance programming. This risk mitigation strategy will aim to incubate interest from select country level partners by having them a part of the design of governance solutions. Capacity support will be provided to CO and national partners to enable them to be active participants in the incubation of ideas and solutions.

Additional risks associated with the implementation of the project are outlined in Annex 3 to this report. Assumptions have been articulated under the Theory of Change. The risks associated with

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the implementation of the project are outlined in Annex 3 to this report. Assumptions have been articulated under the Theory of Change.

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

UNDP's Strategic Plan calls for using SSC/TrC to facilitate knowledge exchange on policy reforms and innovations that have been applied in other contexts and to support peer-to-peer learning. The Centre will ensure it focuses on south-south and triangular cooperation by embedding such principles into all work of the Centre, including establishing peer-to-peer opportunities for knowledge exchange.

The Centre will utilise opportunities for the sharing of knowledge and capacity development through forums and workshops that it convenes and to which it is participating. This will include interactions between counterparts doing similar tasks in different countries in the thematic areas supported by the Centre. The sharing of lessons learned from those countries that have already adopted key reforms will be a key aspect in the adoption of similar reforms in other countries. Where possible, the co-creation and incubation space will ensure that significant representation from practitioners and policymakers from the global south to allow for their perspectives to be key to the development of ideas, knowledge and insights.

### ***Digital Solutions***

The Centre will align with the ambitions in the Strategic Plan (2022-25) which recognises digitalisation as one of the enablers for the delivery. The UNDP Digital Strategy (2022-25)<sup>21</sup> provides further guidance on how the organisation will adapt to an increasingly digital world. The Digital Strategy has two “pathways” through which the strategy will be implemented:

**Pathway 1: Programmatic Objectives** – UNDP will embed digital technology into all aspects of its programmatic work to harness technology to accelerate the implementation of the SDGs. UNDP will also build digital ecosystems that are empowering and reflect a human rights-based approach to their development.

**Pathway 2: Operational Objectives** – UNDP will build the capacity of its staff and ensure they have the technology to rethink how the organisation collects data, manage the use of technology and provide analysis. The end goal is for UNDP to be a “data-driven organisation with greater knowledge management capabilities”.<sup>22</sup>

The Centre will ensure these pathways and objectives are integrated into its work and will ensure that digital solutions are top-of-mind as it collaborates on ideas to address governance issues and will ensure that gender, intersectionality and LNOB are at the heart of its use of data.

### ***Knowledge***

The project will primarily focus on the management of knowledge – its development and the brokering of opportunities to exchange knowledge between different partners. The transfer of knowledge will be achieved through a number of methods, including knowledge events, knowledge products, digital platforms, peer-to-peer exchanges, fellowships, and other forms of engagement. Such knowledge will be developed through support for dedicated research on governance and innovation in the field and the commissioning of external research to develop specific expert knowledge. Knowledge will also be developed in a collaborative manner through partnerships with academia and think tanks, with an emphasis on those based in the Nordic region and the global south.

<sup>21</sup> UNDP Digital Strategy (2022-25) - <https://digitalstrategy.undp.org>

<sup>22</sup> *Ibid*; p.27

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### ***Sustainability and Scaling Up***

The Centre's work will be designed with an effort to ensure sustainability and the scaling up on governance solutions. As the Centre incubates new and innovative approaches to governance support, these concepts will be passed to RBx and their regional hubs, which will work with COs to test and try their applicability and viability. Where positive results have been identified from such piloting there will be opportunities for scaling up on the results.

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## **IV. PROJECT MANAGEMENT**

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

Effective and cost-efficient project management approaches developed in the current project phase will be continued in this extension period. The Centre's strong partnerships in the research and policy world mean that it is able leverage its partners' expertise and resources. For example, the project often engages with experts and researchers on a pro bono basis as its bridging work is considered valuable to them, and enables these researchers to meet their own "research uptake" requirements. Additionally, the Centre is increasingly consulted by researchers on the design and implementation of research conducted elsewhere, which ensures that the research outputs of others are also more relevant to UNDP.

Additionally, the Centre's co-location with the Nordic Representation Office (BERA) in Norway means that the Centre benefits from NRO's outreach capacity, strong networks and knowledge of the region, and allows for some organisational savings on operational costs.

### **Project Management**

The project will be operationalised through the Centre's existing offices in Oslo, which is co-located with the Norway office of the Nordic Representation Office/BERA. As at present, operational support will be provided, as appropriate, through:

1. Service-level agreements with NRO in Copenhagen and UN City Common Services (Copenhagen), as appropriate; and
2. Support from headquarters-based central operations, including the BPPS/Crisis Bureau Joint Directorate.

## V. RESULTS FRAMEWORK

### Intended Outcome as stated in the UNDP Strategic Plan Results and Resource Framework: UNDP SP 2022-25:

**Outcome 1:** Structural transformation accelerated, particularly green, inclusive and digital transitions

**Outcome 2:** No one left behind, centring on equitable access to opportunities and a rights-based approach to human agency and human development

### Outcome indicators as stated in the UNDP Strategic Plan Results and Resources Framework, including baseline and targets:

**Indicator 1.3** - Proportions of positions in national and local institutions, including (a) the legislatures and (b) the public service, compared to national distributions, by sex, age, persons with disabilities and population groups

**Indicator 1.4 - Proportion of seats held by women in**

- a) National parliaments; and
- b) Local governments

**Indicator 1.9** - Percentage of achievement of legal frameworks in place to promote, enforce and monitor equality and non-discrimination on the basis of sex in relation to:

- a) Violence against women;
- b) Overarching legal frameworks and public life; and
- c) Employment and economic benefits, marriage and family

### Applicable Output(s) from the UNDP Strategic Plan:

1.3 The 2030 Agenda, Paris Agreement and other inter-governmentally agreed frameworks integrated in national and local development plans, measures to accelerate progress put in place, and budgets and progress assessed using data-driven solutions

2.1 Open, agile, accountable and future-ready governance systems in place to co-create and deliver solutions to accelerate SDG achievement

2.2 Civic space and access to justice expanded, racism and discrimination addressed, and rule of law, human rights and equity strengthened

2.3 Responsive governance systems and local governance strengthened for socio economic opportunity, inclusive basic service delivery, community security, and peacebuilding

2.4: Democratic institutions and processes strengthened for an inclusive and open public sphere with expanded public engagement

6.2 Women's leadership and participation advanced through implementing affirmative measures, strengthening institutions and civil society, and addressing structural barriers, in order to advance gender equality, including in crisis contexts

E.1 People and institutions equipped with strengthened digital capabilities and opportunities to contribute to and benefit from inclusive digital societies

E.2 Innovation capabilities built, and approaches adopted to expand policy options at global, regional, national and sub-national levels

E.3 Public and private financing for the achievement of the SDGs expanded at global, regional, and national levels

### Expected Project Outcomes:

**Outcome 1:** Public goods and services, at all levels are delivered in an inclusive, effective and responsive manner, including in volatile and uncertain circumstances

**Outcome 2:** All people are empowered as agents of change to have choices and take action

**Outcome 3:** Gender equality underpins all governance systems

**Outcome 4:** Integrating governance in all of UNDP's work



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EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS					DATA COLLECTION METHODS & RISKS
			Value	Year	2022 <sup>23</sup>	2023	2024	2025	FINAL	
<b>Output 1: Research initiatives and partnerships strengthened to enhance the evidence-base and analysis on emerging trends on inclusive, effective and accountable governance.</b>	<i>1.1 Number of research products produced annually.<sup>24</sup></i>	<i>Reports</i>  <i>Annual Reports</i>  <i>UNDP Policy Papers</i>	11	2021	5	12	15	15	15	<i>Project Monitoring</i>  <i>Mid-term Evaluation</i>  <i>Final Evaluation</i>  <i>Partner Evaluations</i>
	<i>1.2 Number of long-term, strategic partnerships developed and managed</i>	<i>ToRs</i>  <i>Reports</i>  <i>Partner Reports</i>  <i>Partner MOUs</i>	3	2021	5	8	10	10	10	<i>Project Monitoring</i>  <i>Mid-term Evaluation</i>  <i>Annual Reports</i>
	<i>1.3 Percentage of UNDP staff surveyed who have a positive perception of the value of the research conducted by the Centre to their work</i>	<i>Perception Survey</i>	0	2022	–	<i>50% of Staff have a positive perception</i>	–	<i>65% of Staff have a positive perception</i>	<i>65% of Staff have a positive perception</i>	<i>Mid-term Evaluation</i>  <i>Annual Reports</i>  <i>Perception Survey</i>

<sup>23</sup> For 2022 the targets are for the second half of the year only

<sup>24</sup> Reports include all research reports produced by the Centre and not only those produced through partnerships

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<b>Output 2: Governance data insights and analysis generated, and global, regional, and national data systems strengthened to support evidence-based policy</b>	<i>2.1 Number of governance statistics methodological and technical instruments developed for recognition by international statistical bodies (UNSC, IAEG-SDG, IAOS, ISI)</i>	<i>UNSC Report</i> <i>IAEG-SDG Reports</i> <i>IAOS Reports</i> <i>IAOS Journal</i> <i>ISI Journal</i>	2	2022	2	2	3	5	5	<i>Project Monitoring</i> <i>Mid-term Evaluation</i> <i>Annual Reports</i>
	<i>2.2 Number of countries where national actors (NSOs, line ministers, policymakers) increase their capacity to collect SDG 16 governance data</i>	<i>SDG Monitoring Reports</i> <i>Training reports</i> <i>Implementation Reports</i>	2	2022	2	5	7	9	9	<i>Final Evaluation</i> <i>Project Monitoring</i> <i>Mid-term Evaluation</i> <i>Annual Reports</i>
	<i>2.3 Number of countries reporting SDG 16 indicators under UNDP custodianship</i>	<i>SDG Data Indicators Database</i>	48	2022	48	59	70	81	81	<i>Project Monitoring</i> <i>Mid-term Evaluation</i> <i>Final Evaluation</i> <i>Annual Reports</i>
<b>Output 3: Governance Innovation and Incubation Facility established to create space for co-creation and testing of new and</b>	<i>3.1 Number of practical governance tools and methodologies piloted by Country Offices annually</i>	<i>CO Reports</i> <i>Pilot Project Reports</i> <i>Media Reports</i> <i>CSO Reports</i> <i>Annual Reports</i>	0	2022	0	2	4	6	6	<i>Project Monitoring</i> <i>Mid-term Evaluation</i> <i>Final Evaluation</i> <i>Annual Reports</i>

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<b>innovative tools and pathways for inclusive governance.</b>	<b>3.2</b> Number of co-created governance ideas, knowledge, insights and models produced annually	Annual Reports  Knowledge Products  Partner Reports	0	2022	0	2	4	6	6	Project Monitoring  Mid-term Evaluation  Final Evaluation  Annual Reports
<b>Output 4: A strengthened knowledge architecture for UNDPs governance support</b>	<b>4.1</b> Number of downloads from website ( <a href="http://www.undp.org/oslocentre">http://www.undp.org/oslocentre</a> )	Reports  Knowledge Platform Data  Global Governance Programmes Annual Reports	3366	2022	4000	4500	5000	5900	5900	Project Monitoring  Mid-term Evaluation  Final Evaluation  Annual Reports  Website Data
	<b>4.2</b> Number of engagements that enhance the quality of country level programming (including through the fellowship programme)	Reports  CO Reports  BTORs  ToRs	0	2022	0	2	4	6	6	Project Monitoring  Mid-term Evaluation  Final Evaluation  Annual Reports

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	<b>4.3</b> Number of knowledge products whose impact (qualitative and quantitative) is measured for improved programming	Reports  Monitoring Reports  CO reports	0	2022	0	1	3	5	5	Project Monitoring  Mid-term Evaluation  Final Evaluation  Pilot Project Evaluations  Annual Reports
<b>Output 5: Strategic communications, engagement and advocacy supported to co-create new ideas, enrich discussion, and inform the global discourse on inclusive governance.</b>	<b>5.1</b> Production & implementation of a Strategic Communications Framework	Strategic Communications Framework  Media Reports	N/A	2022	Strategy Drafted	Strategy Approved	Strategy 33% Implemented	Strategy 75% Implemented	Strategy 75% Implemented	Project Monitoring  Mid-term Evaluation  Final Evaluation
	<b>5.2</b> Number of dialogues convened between partners to explore contentious and critical governance issues	Reports  Partner Reports	0	2022	1	3	5	8	8	Project Monitoring  Mid-term Evaluation  Final Evaluation  Annual Reports
	<b>5.3</b> Number of global & regional media stories that reference work of the Centre or UNDP Governance Support (Cumulative)	Media Reports  Reports  Global Governance Programmes Reports	N/A	2022	5	10	15	20	20	Project Monitoring  Mid-term Evaluation  Final Evaluation  Annual Reports

## VI. MONITORING AND EVALUATION

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

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	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	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., 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.		

### Evaluation Plan

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<b>Evaluation Title</b>	<b>Partners (if joint)</b>	<b>Related Strategic Plan Output</b>	<b>SP_ Outcome</b>	<b>Planned Completion Date</b>	<b>Key Evaluation Stakeholders</b>	<b>Cost and Source of Funding</b>
Mid-Term Evaluation	N/A	SP 1.3 2.1 2.2 2.3 2.4 6.2 E.1 E.2 E.3	SP Outcome 1; Outcome 2	1 <sup>st</sup> Quarter of 2024	UNDP BPPS; UNDP CB; Global Programmes on Governance; RBx; Donors; Governance Policymakers; Governance Researchers; Governance Practitioners	Cost allocated in MYWP
Final Evaluation	N/A	SP 1.3 2.1 2.2 2.3 2.4 6.2 E.1 E.2 E.3	SP Outcome 1; Outcome 2	2 <sup>nd</sup> Half of 2025	UNDP BPPS; UNDP CB; Global Programmes on Governance; RBx; Donors; Governance Policymakers; Governance Researchers; Governance Practitioners	Cost allocated in MYWP

## VII. MULTI-YEAR WORK PLAN <sup>2526</sup>

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.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (in USD)					RESPONSIBLE PARTY	PLANNED BUDGET		
		2022	2023	2024	2025	2026		Funding Source	Budget Description	Amount (in USD)
<b>Output 1: Research initiatives and partnerships strengthened to enhance the evidence-base and analysis on emerging trends on inclusive, effective and accountable governance.</b>  <i>Gender marker: 2</i>	1.1 Produce <i>upstream</i> research on emerging trends in governance	200,000	400,000	400,000	400,000	200,000	Centre	Norway UNDP Other donors (TBC)	Staff, Consultants, Contracts, Workshops, Travel	1,600,000
	1.2 Produce <i>downstream</i> research that impact UNDP governance programming	75,000	200,000	200,000	200,000	100,000	Centre RBx		Staff, Consultants, Contracts, Workshops, Travel	775,000
	1.3 Establish and manage partnerships with key governance research institutes	50,000	150,000	200,000	200,000	100,000	Centre		Staff, Consultants, Contracts, Workshops, Travel	700,000
	1.4 Integrate gender impact analysis into research projects and reports	75,000	200,000	200,000	200,000	150,000	Centre		Staff, Consultants, Contracts, Workshops, Travel	825,000
	MONITORING/EVALUATION	25,000	25,000	50,000	25,000	75,000	Centre		Staff, Consultants	200,000

<sup>25</sup> 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

<sup>26</sup> 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 among years.

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EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (in USD)					RESPONSIBLE PARTY	PLANNED BUDGET			
		2022	2023	2024	2025	2026		Funding Source	Budget Description	Amount (in USD)	
	<b>Sub-Total for Output 1</b>	<b>425,000</b>	<b>975,000</b>	<b>1,050,000</b>	<b>1,025,000</b>	<b>625,000</b>				<b>4,100,000</b>	
<b>Output 2: Governance data insights and analysis generated, and global, regional, and national data systems strengthened to support evidence-based policy</b>  <i>Gender marker: 2</i>	2.1 Create a digital ecosystem to allow for harvesting, collection and visulaization of governance data	200,000	300,000	300,000	200,000	100,000	RBx Crisis Bureau BPPS	Norway  UNDP Other donors (TBC)	Staff, Consultants, Contracts, Workshops, Travel	1,100,000	
	2.2 Develop and support the use of new tools for the collection of governance data, including use by NSOs	50,000	200,000	200,000	200,000	100,000	Centre NSOs		Staff, Consultants, Contracts, Workshops, Travel	750,000	
	2.3 Collect & report on SDG-16 indicator progress where UNDP has custodianship	100,000	250,000	250,000	250,000	100,000	Centre		Staff, Consultants, Contracts, Workshops, Travel	950,000	
	2.4 Develop systems to ensure collection of sex disaggregated data and gender impact analysis as part of data analytics	50,000	100,000	100,000	100,000	50,000	Centre RBx COs		Staff, Consultants, Contracts, Workshops, Travel	400,000	
	2.5 Facilitate and promote the development of global standards on governance statistics	50,000	200,000	200,000	200,000	100,000	Centre		Staff, Consultants, Contracts, Workshops, Travel	750,000	
	MONITORING/EVALUATION	25,000	25,000	50,000	25,000	75,000	Centre		Staff, Consultants	200,000	
	<b>Sub-Total for Output 2</b>	<b>475,000</b>	<b>1,075,000</b>	<b>1,100,000</b>	<b>975,000</b>	<b>525,000</b>					<b>4,150,000</b>



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EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (in USD)					RESPONSIBLE PARTY	PLANNED BUDGET		
		2022	2023	2024	2025	2026		Funding Source	Budget Description	Amount (in USD)
<b>Output 3: Governance Innovation and Incubation Facility established to create space for co-creation and testing of new and innovative tools and pathways for inclusive governance.</b>  <i>Gender marker: 2</i>	3.1 Produce practical governance solutions (tools; modalities; ideas) that are ready for piloting and reflect gender analysis conducted and gender norms	100,000	200,000	200,000	200,000	100,000	Centre BPPS	Norway UNDP Other donors (TBC)	Staff, Consultants, Contracts, Workshops, Travel	800,000
	3.2 Develop tools, modalities and ideas for governance in conflict-impacted and fragile states that reflect gender norms and analysis conducted	50,000	200,000	200,000	200,000	100,000	Centre Crisis Bureau		Staff, Consultants, Contracts, Workshops, Travel	750,000
	3.3 Support the piloting of governance tools, modalities and ideas by RBx and COs	100,000	300,000	500,000	500,000	250,000	RBx COs		Staff, Consultants, Contracts, Workshops, Travel	1,650,000
	MONITORING/EVALUATION	25,000	25,000	50,000	25,000	75,000	Centre		Staff, Consultants	200,000
	<b>Sub-Total for Output 3:</b>	<b>275,000</b>	<b>725,000</b>	<b>950,000</b>	<b>925,000</b>	<b>525,000</b>				<b>3,400,000</b>
<b>Output 4: A strengthened knowledge architecture for UNDPs</b>	4.1 Create, establish and maintain a knowledge portal with curated knowledge on governance that includes peer-to-peer knowledge exchange	100,000	250,000	250,000	250,000	100,000	Centre	Norway UNDP Other donors (TBC)	Staff, Consultants, Contracts, Workshops, Travel	950,000

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EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (in USD)					RESPONSIBLE PARTY	PLANNED BUDGET			
		2022	2023	2024	2025	2026		Funding Source	Budget Description	Amount (in USD)	
<b>governance support</b> <i>Gender marker: 2</i>	4.2 Finalization and management of knowledge products and materials on governance	50,000	150,000	150,000	150,000	50,000	Centre	Norway UNDP	Staff, Consultants, Contracts, Workshops, Travel	550,000	
	4.3 Establish space for UNDP to co-create governance ideas and knowledge with partners, including through fellowships and flagship conferences	50,000	150,000	150,000	150,000	150,000	Centre		Staff, Consultants, Contracts, Workshops, Travel	650,000	
	4.4 Establish space for UNDP CO SMTs to engage with Centre on strategic guidance for country level programming.	50,000	200,000	200,000	200,000	100,000	Centre COs RBx		Staff, Consultants, Contracts, Workshops, Travel	750,000	
	MONITORING/EVALUATION	25,000	25,000	50,000	25,000	75,000	Centre		Staff, Consultants	200,000	
	<b>Sub-Total for Output 4:</b>	<b>275,000</b>	<b>775,000</b>	<b>800,000</b>	<b>775,000</b>	<b>475,000</b>					<b>3,100,000</b>
	<b>Output 5: Strategic communications, engagement and advocacy</b>	5.1 Produce and implement Communications Framework	100,000	100,000	100,000	100,000	50,000		Centre	Staff, Consultants, Contracts, Workshops, Travel	400,000

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EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (in USD)					RESPONSIBLE PARTY	PLANNED BUDGET		
		2022	2023	2024	2025	2026		Funding Source	Budget Description	Amount (in USD)
<b>supported to co-create new ideas, enrich discussion, and inform the global discourse on inclusive governance.</b>  <i>Gender marker: 2</i>	5.2 Develop and implement Partnership Strategy	50,000	100,000	100,000	100,000	50,000	Centre	Other donors (TBC)	Staff, Consultants, Contracts, Workshops, Travel	400,000
	5.3 Build and maintain robust relationships with key global & regional media organisations	50,000	150,000	150,000	150,000	75,000	Centre		Staff, Consultants, Contracts, Workshops, Travel	575,000
	5.4 Broker knowledge and insights between governance stakeholders (UNDP & external) on a regular basis to share knowledge and experiences	50,000	200,000	200,000	200,000	100,000	Centre		Staff, Consultants, Contracts, Workshops, Travel	750,000
	5.5 Communicate, engage and advocate to media and governance stakeholders specific tools, modalities and ideas developed to address gender equality	50,000	150,000	150,000	150,000	75,000	Centre		Staff, Consultants, Contracts, Workshops, Travel	575,000
	MONITORING/EVALUATION	25,000	25,000	50,000	25,000	75,000	Centre		Staff, Consultants	200,000
	<b>Sub-Total for Output 5:</b>	<b>325,000</b>	<b>725,000</b>	<b>750,000</b>	<b>725,000</b>	<b>425,000</b>				
<b>Subtotal</b>		1,775,000	4,275,000	4,650,000	4,425,000	2,575,000				17,700,000
<b>8% GMS</b>		142,000	342,000	372,000	354,000	206,000				1,416,000
<b>UNDP Programme Total</b>		<b>1,917,000</b>	<b>4,617,000</b>	<b>5,022,000</b>	<b>4,779,000</b>	<b>2,781,000</b>				<b>19,116,000</b>
<b>UN Coordination Levy 1%</b>		19,170	46,170	50,220	47,790	27,810				191,160

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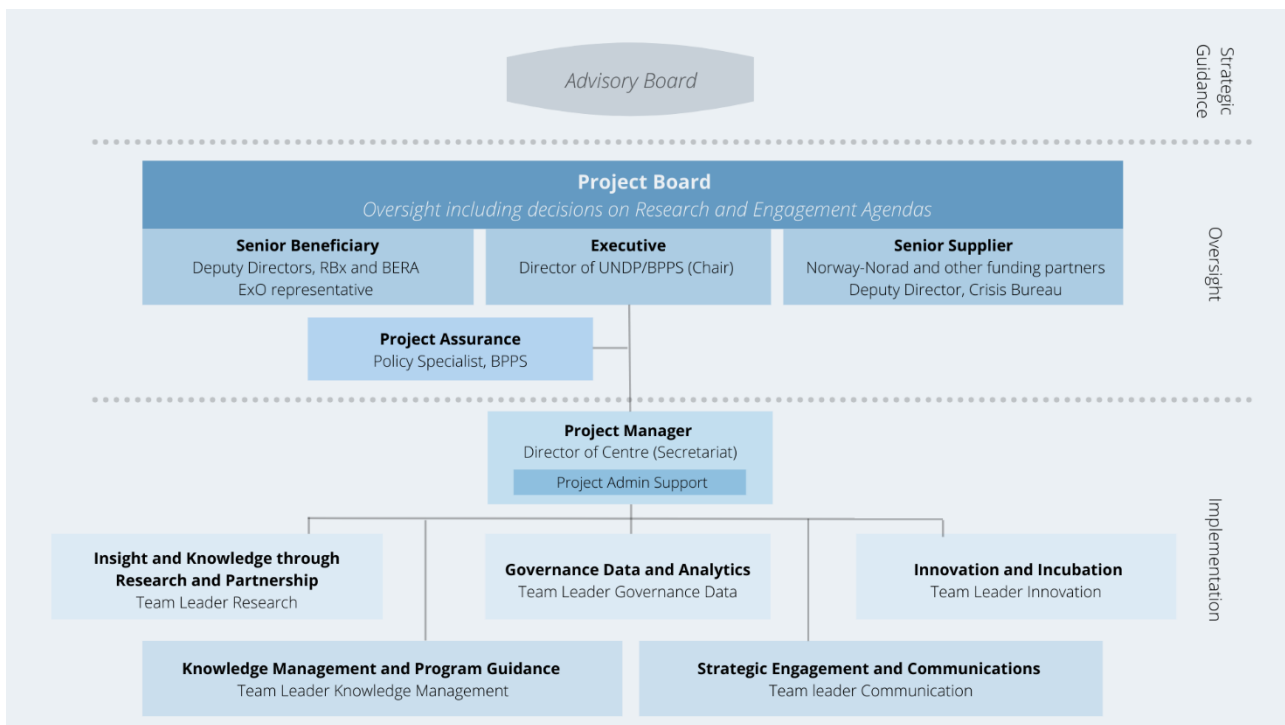
EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (in USD)					RESPONSIBLE PARTY	PLANNED BUDGET		
		2022	2023	2024	2025	2026		Funding Source	Budget Description	Amount (in USD)
<i>Total by year</i>		<i>1,936,170</i>	<i>4,663,170</i>	<i>5,072,220</i>	<i>4,826,790</i>	<i>2,808,810</i>				
<b>TOTAL</b>										<b>19,307,160</b>

## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The Centre is governed by a Project Board chaired by Director of UNDP/BPPS (as per UNDP project governance requirements). UNDP will apply DIM (direct implementation) modality to this project. The Board is responsible for management decisions by consensus and will meet annually or more frequently if deemed necessary by the Chair. Members of the Project Board have overall roles in *strategic* guidance of the Centre – including the decision on the specific *Research and Engagement Agendas*. The Terms of Reference of the Project Board are attached (Annex IV).

A meeting of the Project Board will be considered quorate when the Executive (or his/her chosen delegate), the Project Manager (Centre Director) and five of the ten senior beneficiaries/senior suppliers are present in a meeting, or by proxy or by written engagement. Other Board members unable to attend in person may submit written inputs within a specified time frame. In order to ensure accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

In case a consensus cannot be reached within the Board, final decision shall rest with the Executive. In addition, the Project Board plays a critical role in UNDP commissioned project evaluations by quality assuring the evaluation process and products, and using evaluations for performance improvement, accountability and learning. Membership of the body can be expanded or amended as required, with the agreement of Project Board members to invite participation of other UNDP units, future major donors and supporting/collaborating organisations



## IX. LEGAL CONTEXT

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

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an integral part hereof. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

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

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## **X. RISK MANAGEMENT**

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]<sup>27</sup> [UNDP funds received pursuant to the Project Document]<sup>28</sup> are used to provide support to individuals or entities associated with terrorism, that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>. 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.

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<sup>27</sup> To be used where UNDP is the Implementing Partner

<sup>28</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

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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:

a. 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:

i. 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;

ii. 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.

b. 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.

c. Each responsible party, subcontractor and sub-recipient (each a "sub-party" and together "sub-parties") acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities), and shall require from its sub-parties (with respect to their activities) that they, have minimum

standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:

- (i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
  - (ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;
  - (iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;
  - (iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
  - (v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
- e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
  - f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.
  - g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, 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, anti-fraud and anti money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
  - h. 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 against Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and



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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](http://www.undp.org).

- i. 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.
- j. 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, corruption other financial irregularities 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.

- k. 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 corruption or other financial irregularities, 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, corruption or other financial irregularities, 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.

- i. 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.

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- m. 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.
- n. 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.

## **XI. ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Template**
- 3. Risk Analysis.**
- 4. Project Board Terms of Reference and TORs of key management positions.**
- 5. Description of Responsibilities for Project Advisory Board**

**ANNEX 1: Project Quality Assurance Report**

PROJECT QA ASSESSMENT: DESGN AND APPRAISAL				
OVERALL PROJECT				
EXEMPLARY (5) ¥¥¥¥¥	HIGHLY SATISFACTORY (4) ¥¥¥¥i	SATISFACTORY (3) ¥¥¥ji	NEEDS IMPROVEMENT (2) ¥¥iii	INADEQUATE (1) ¥iiii
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The Principled criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.
DECISION				
<ul style="list-style-type: none"> <li>· <b>APPROVE</b> – the project is of sufficient quality to be approved in its current form. Any management actions must be addressed in a timely manner.</li> <li>· <b>APPROVE WITH QUALIFICATIONS</b> – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.</li> <li>· <b>DISAPPROVE</b> – the project has significant issues that should prevent the project from being approved as drafted.</li> </ul>				
RATING CRITERIA				
<b>For all questions, select the option that best reflects the project</b>				
STRATEGIC				
<p><b>1. Does the project specify how it will contribute to higher level change through linkage to the programme’s Theory of Change?</b></p> <ul style="list-style-type: none"> <li>· <b>3:</b> The project is clearly linked to the programme’s theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project’s strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.</li> <li>· <b>2:</b> The project is clearly linked to the programme’s theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.</li> <li>· <b>1:</b> The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme’s theory of change.</li> </ul> <p><i>*Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.</i></p>	<b>3</b>	2		
	1			
	<p style="text-align: center;"><b>Evidence</b></p> <p>See Section II for the high-level TOC &amp; assumptions. Specific programming assumptions/evidence are articulated in the opening paragraphs of each output description (see Section III).</p>			

<p><b>2. Is the project aligned with the UNDP Strategic Plan?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The project responds to at least one of the development settings as specified in the Strategic Plan<sup>[1]</sup> and adapts at least one Signature Solution<sup>[2]</sup>. The project's RRF includes all the relevant SP output indicators. <i>(all must be true)</i></li> <li><b>2:</b> The project responds to at least one of the development settings as specified in the Strategic Plan<sup>4</sup>. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true)</i></li> <li><b>1:</b> The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.</li> </ul>	3	2
1		
<p><b>Evidence</b></p> <p>See Section II (Overview); and Section III, (Introduction). See also Results Framework at Section V.</p>		
<p><b>3. Is the project linked to the programme outputs? (i.e., UNDAF Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)</b></p>	Yes	No
<p><b>RELEVANT</b></p>		
<p><b>4. Does the project target groups left furthest behind?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The target groups are clearly specified, prioritising discriminated and marginalized groups left furthest behind, identified through a rigorous process based on evidence.</li> <li><b>2:</b> The target groups are clearly specified, prioritizing groups left furthest behind.</li> <li><b>1:</b> The target groups are not clearly specified.</li> </ul> <p><i>*Note: Management Action must be taken for a score of 1. Projects that build institutional capacity should still identify targeted groups to justify support</i></p>	3	2
1		
<p><b>Evidence</b></p> <p>Project has specific outcome and outputs focused on finding governance solutions related to LNOB and the need for inclusive governance systems. Specific references to gender equality, intersectionality and key marginalised groups (LGBT+; PwDs; Youth)</p>		
<p><b>5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.</li> <li><b>2:</b> The project design mentions knowledge and lessons learned backed by evidence/sources, but have not been used to justify the approach selected.</li> <li><b>1:</b> There is little or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
1		
<p><b>Evidence</b></p> <p>Project reflects lessons learned and evaluation conclusions from previous phases of work.</p>		
<p><b>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national/regional/global partners and other actors?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true)</i></li> <li><b>2:</b> Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.</li> <li><b>1:</b> No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.</li> </ul>	3	2
1		
<p><b>Evidence</b></p> <p>Credible evidence of a lack of governance thought leadership generally and, limited with regard to practical tools that are based on country level interventions. UNDP is uniquely placed to take advantage of its global network of COs and to have space for co-creation of governance solutions and ideas.</p>		

\*Note: Management Action or strong management justification must be given for a score of 1

**PRINCIPLED**

<p><b>7. Does the project apply a human rights-based approach?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project’s strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. <i>(all must be true)</i></li> <li><b>2:</b> The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. <i>(both must be true)</i></li> <li><b>1:</b> No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	3	2
1		
<p><b>Evidence</b></p> <p>The Project is designed on the principles of a human rights-based approach to delivery. HRBA is one of the tents under which the project is formed and is informing all activities and outputs.</p>		
<p><b>8. Does the project use gender analysis in the project design?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. <i>(all must be true)</i></li> <li><b>2:</b> A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. <i>(all must be true)</i></li> <li><b>1:</b> The project design may or may not mention information and/or data on the differential impact of the project’s development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2
1		
<p><b>Evidence</b></p> <p>Project is designed based on a basic gender analysis. The project has integrated gender equality throughout all outcomes and outputs. The situation analysis and assumptions that underpin the project reflect gender equality challenges.</p>		
<p><b>9. Did the project support the resilience and sustainability of societies and/or ecosystems?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. <i>(all must be true)</i>.</li> <li><b>2:</b> The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. <i>(both must be true)</i></li> <li><b>1:</b> Sustainability and resilience dimensions and impacts were not adequately considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	3	2
1		
<p><b>Evidence</b></p> <p>Project is designed based on social and environmental assessment. Relevant shocks, hazards and adverse impacts have been considered and mitigating measures identified. A significant part of the research agenda will include natural ecosystem/ climate/ sustainability foci and considerations.</p>		

<p><b>10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?</b> The SESP 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 and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>	Yes	No
<b>MANAGEMENT &amp; MONITORING</b>		
<p><b>11. Does the project have a strong results framework?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. <i>(all must be true)</i></li> <li>• <b>2:</b> The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. <i>(all must be true)</i></li> <li>• <b>1:</b> The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. <i>(if any is true)</i></li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2
1		
<p style="text-align: center;"><b>Evidence</b></p> <p>See Section V on the Results Framework, and accompanying methodological note.</p>		
<p><b>12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. <i>(all must be true)</i>.</li> <li>• <b>2:</b> The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true)</i></li> <li>• <b>1:</b> The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2
1		
<p style="text-align: center;"><b>Evidence</b></p> <p>See Section VIII on Governance and Management Arrangements, and the accompanying annex – Terms of Reference for the Project Board. Also see Section IV on Project Management.</p>		
<p><b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme's theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders. Clear and complete plan in place to manage and mitigate each risk, reflected in project budgeting and monitoring plans. <i>(both must be true)</i></li> <li>• <b>2:</b> Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.</li> </ul>	3	2
1		
<p style="text-align: center;"><b>Evidence</b></p> <p>See Section III and Risks and Mitigation, Section X on Risk Management, Section IX on the Legal Context and the accompanying risk log in Annex 3. All risks and mitigation measures have been vetted through a broad internal consultative process.</p>		

- **1:** Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and/or no initial risk log is included with the project document.

\*Note: Management Action must be taken for a score of 1

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**EFFICIENT**

**14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners; iv) sharing resources or coordinating delivery with other projects, v) using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.**

*(Note: Evidence of at least one measure must be provided to answer yes for this question)*

Yes  
(3)

No (1)

**15. Is the budget justified and supported with valid estimates?**

- **3:** The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.
- **2:** The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.
- **1:** The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

3

2

1

**Evidence**

The four-year budget costs are supported with valid estimates based on other relevant UNDP projects. Adequate costs for monitoring, evaluation, and communications have been incorporated.

**16. Is the Country Office/Regional Hub/Global Project fully recovering the costs involved with project implementation?**

- **3:** The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)
- **2:** The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.
- **1:** The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

\*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.

3

2

1

**Evidence**

Project management and support, delivery enabling services, GMS, M&E are included in the budget.

**EFFECTIVE**



<p><b>17. Have targeted groups been engaged in the design of the project?</b></p> <ul style="list-style-type: none"> <li>· <b>3:</b> Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)</li> <li>· <b>2:</b> Some evidence that key targeted groups have been consulted in the design of the project.</li> <li>· <b>1:</b> No evidence of engagement with targeted groups during project design.</li> </ul>	3	2
1		
<p><b>Evidence</b></p> <p>Project has been designed with broad internal consultation within UNDP with RBx, BPPS and Crisis Bureau Team Leaders. External engagement has included some stakeholders, including those from marginalised and key groups.</p>		
<p><b>18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?</b></p>	Yes (3)	No (1)
<p><b>19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</b></p> <p><small>*Note: Management Action or strong management justification must be given for a score of "no"</small></p>	Yes (3)	No (1)
<p><b>Evidence</b></p>		
<p><b>SUSTAINABILITY &amp; NATIONAL OWNERSHIP</b></p>		
<p><b>20. Have national/regional/global partners led, or proactively engaged in, the design of the project?</b></p> <ul style="list-style-type: none"> <li>· <b>3:</b> National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>· <b>2:</b> The project has been developed by UNDP in close consultation with national/regional/global partners.</li> <li>· <b>1:</b> The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul>	3	2
1		
<p><b>Evidence</b></p> <p>This project is directly implemented by UNDP, but has been developed in close consultation with relevant partners (see evidence for Question 17 above). Consultations with colleagues in headquarters, regional hubs and regional bureaus took place during project development.</p>		
<p><b>21. Are key institutions and systems identified, and is there a strategy for strengthening specific/comprehensive capacities based on capacity assessments conducted?</b></p> <ul style="list-style-type: none"> <li>· <b>3:</b> The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection and adjust the strategy to strengthen national capacities accordingly.</li> <li>· <b>2:</b> A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.</li> <li>· <b>1:</b> Capacity assessments have not been carried out.</li> </ul>	3	2
1		
<p><b>Evidence</b></p> <p>The Project will enhance the capacity of staff and promote opportunities for co-creation of governance solutions with UNDP programmatic staff. Externally, the project will identify, develop and test new governance approaches that will be applied at the country level in working with national partners.</p>		
<p><b>22. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?</b></p>	Yes (3)	No (1)
<p><b>23. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?</b></p>	Yes (3)	No (1)

## ANNEX 2: Social And Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

### Project Information

<b>Project Information</b>	
1. Project Title	The UNDP Global Policy Centre for Governance
2. Project Number (i.e. Atlas project ID, PIMS+)	TBC
3. Location (Global/Region/Country)	Global
4. Project stage (Design or Implementation)	Design
5. Date	15 April 2022

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

#### **QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?**

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

The Project's work is underpinned by a commitment to ensuring that dignity and respect are afforded to all people through the enjoyment of their human rights and protected by the rule of law. It promotes human rights both as a principle and as a goal, and upholds the mandatory application of a human-rights based approach across UNDP programming. The project includes specific components to promote governance systems that are inclusive and leave no one behind. The Project specifically prioritises the promotion of a human-rights-based approach in digitalization. It also promotes the adoption of a human rights-based approach to data, including actively supporting collection and reporting of disaggregated data. The project provides technical advice and other support to ensure UNDP CO interventions integrate a human rights-based approach across their programming,

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

The Project is committed to better understanding and tackling the persistent, structural obstacles to gender equality, and to advancing the empowerment of women. The project focuses specifically on identifying and designing governance solutions that include gender analysis and initiatives that tackle discriminatory social norms and systems, structures, policies and practices; increasing access to public goods and services for women, including the meaningful participation of women and co-creation of public policy, including in leadership and decision-making roles specifically. The project promotes gender equality in a significant and consistent way, including ensuring gender is integrated as a cross-cutting issue in the project's rationale, activities, indicators and budget. A specific focus on gender disaggregated data especially in relation to representation in decision-making is an important part of the project. It actively seeks to ensure that interventions, including resource allocation, apply a gender-sensitive approach and diversity lens in the analysis, design and implementation. All funded projects must promote gender equality in a significant way (Gender Marker 2 or 3) and assign a minimum of 15% of their funding to activities related to gender equality and women's empowerment.

##### ***Briefly describe in the space below how the project mainstreams sustainability and resilience***

The Project's strategic approach is grounded in the recognition that effective, accountable and inclusive governance systems will require space for analysing and creating governance solutions that address people's immediate needs and for building the resilience of communities and states against crisis, conflict, natural disasters, climate and social and economic shocks. With its focus on learning, the project indirectly supports country offices to apply an agile and adaptive approach to programming to enable enhanced risk management.

**Briefly describe in the space below how the project strengthens accountability to stakeholders**

The Project is designed to create space for governance stakeholders – researchers, practitioners and policymakers – to partner with UNDP in the co-creation of governance solutions to address current and emerging governance challenges. By having partners, predominantly basing their work in development contexts in the design of such solutions the goal is to have solutions that will be tested at the country level with national partners. The results of such testing will be gathered along with lessons learned, which will, in turn, be shared with governance stakeholders at the global, regional and national levels. By establishing a one-stop knowledge facility for UNDP, the Project will share knowledge through online and other means, including knowledge products, flagship conferences and other means of sharing experiences with stakeholders.

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

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i></p>			<p><b>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</b></p>
<p><b>Risk Description (broken down by event, cause, impact)</b></p>	<p><b>Impact and Likelihood (1-5)</b></p>	<p><b>Significance (Low, Moderate, Substantial, High)</b></p>	<p><b>Comments (optional)</b></p>	<p><b>Description of assessment and management measures for risks rated as Moderate, Substantial or High</b></p>
<p>Risk 1: The project includes a component on providing research and analysis which will result in frequent travel of staff and consultants – affecting the environment and increasing pollution.</p>	<p>I = 2 L = 4</p>	<p>Low</p>		<p>Where possible, remote support will be explored through remote missions, online trainings and workshops, and delegating colleagues closer to the location to travel.</p>
<p>Risk 2: Work on governance solutions requires trust in governance stakeholders (policymakers; practitioners;</p>	<p>I = 3 L = 3</p>	<p><b>Moderate</b></p>		<p>Centre will build on networks and partnerships to allow for trusted relationships that will contribute to space for collaboration.</p>

researchers) and engaged to allow for co-creation of solutions.				
Risk 3: UNDPs sustainable environment portfolio has limited results due to a lack of governance analysis and design to include governance solutions.	I = 3 L = 3	<b>Moderate</b>		Centre will work with all UNDP thematic teams and COs to support the design of governance solutions into all UNDP portfolio work.

<b>QUESTION 4: What is the overall project risk categorization?</b>	
<i>Low Risk</i>	The countries that the Centre will work in over the next four years are not predetermined. The project is flexible and agile and provides specific research and analysis when and where required with a focus on conflict, fragile and transition contexts.
<i>Moderate Risk</i>	
<i>Substantial Risk</i>	
<i>High Risk</i>	

<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)</b>			
Question only required for Moderate, Substantial and High Risk projects			
<u>Is assessment required? (check if "yes")</u>	<input type="checkbox"/>		<b>Status? (completed, planned)</b>
<i>if yes, indicate overall type and status</i>	<input type="checkbox"/>	Targeted assessment(s)	
	<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	
	<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	
<b>Are management plans required? (check if "yes")</b>	<input type="checkbox"/>		
<i>If yes, indicate overall type</i>	<input type="checkbox"/>	Targeted management plans	

		(e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)
	<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)
	<input type="checkbox"/>	ESMF (Environmental and Social Management Framework)
<b>Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?</b>		<b>Comments (not required)</b>
<b>Overarching Principle: Leave No One Behind</b>		
<b>Human Rights</b>	<input type="checkbox"/>	
<b>Gender Equality and Women's Empowerment</b>	<input type="checkbox"/>	
<b>Accountability</b>	<input type="checkbox"/>	
<b>1. Biodiversity Conservation and Sustainable Natural Resource Management</b>	<input type="checkbox"/>	
<b>2. Climate Change and Disaster Risks</b>	<input type="checkbox"/>	
<b>3. Community Health, Safety and Security</b>	<input type="checkbox"/>	
<b>4. Cultural Heritage</b>	<input type="checkbox"/>	
<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	
<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	
<b>7. Labour and Working Conditions</b>	<input type="checkbox"/>	
<b>8. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	

**Final Sign Off**

Final Screening at the design-stage is not complete until the following signatures are included

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

### SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		
<b>INSTRUCTIONS:</b> The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the <a href="#">SES toolkit</a> for further guidance on addressing screening questions.		
<b>Overarching Principle: Leave No One Behind</b>		<b>Answer (Yes/No)</b>
<b>Human Rights</b>		
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	No
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? <a href="#">[3]</a>	No
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Gender Equality and Women’s Empowerment</b>		
P.8	Have women’s groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
<i>Would the project potentially involve or lead to:</i>		

P.9	adverse impacts on gender equality and/or the situation of women and girls?	No
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
P.11	limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	No
<b>Sustainability and Resilience:</b> Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
<b>Accountability</b>		
<i>Would the project potentially involve or lead to:</i>		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	No
P.14	grievances or objections from potentially affected stakeholders?	No
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
<b>Project-Level Standards</b>		
<b>Standard 1: Biodiversity Conservation and Sustainable <a href="#">Natural</a> Resource Management</b>		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	No
1.7	adverse impacts on soils?	No
1.8	harvesting of natural forests, plantation development, or reforestation?	No
1.9	significant agricultural production?	No
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	No
1.11	significant extraction, diversion or containment of surface or ground water?	No

<i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	
1.12 handling or utilization of genetically modified organisms/living modified organisms? <sup>[4]</sup>	No
1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) <sup>[5]</sup>	No
1.14 adverse transboundary or global environmental concerns?	No
<b>Standard 2: Climate Change and Disaster Risks</b>	
<i>Would the project potentially involve or lead to:</i>	No
2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2 outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	No
2.3 increases in <a href="#">vulnerability to climate change</a> impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
2.4 increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
<b>Standard 3: Community Health, Safety and Security</b>	
<i>Would the project potentially involve or lead to:</i>	
3.1 construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	No
3.2 air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No
3.3 harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4 risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
3.5 transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.6 adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7 influx of project workers to project areas?	No
3.8 engagement of security personnel to protect facilities and property or to support project activities?	No
<b>Standard 4: Cultural Heritage</b>	
<i>Would the project potentially involve or lead to:</i>	
4.1 activities adjacent to or within a Cultural Heritage site?	No



4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.4	alterations to landscapes and natural features with cultural significance?	No
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	risk of forced evictions? <sup>61</sup>	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	No
6.2	activities located on lands and territories claimed by indigenous peoples?	No
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to screening question 6.3 is “yes”, then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk</i>	No
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	No
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No

<i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	
<b>Standard 7: Labour and Working Conditions</b>	
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>	No
7.1 working conditions that do not meet national labour laws and international commitments?	No
7.2 working conditions that may deny freedom of association and collective bargaining?	No
7.3 use of child labour?	No
7.4 use of forced labour?	No
7.5 discriminatory working conditions and/or lack of equal opportunity?	No
7.6 occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	No
<b>Standard 8: Pollution Prevention and Resource Efficiency</b>	
<i>Would the project potentially involve or lead to:</i>	
8.1 the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or <a href="#">transboundary impacts</a> ?	No
8.2 the generation of waste (both hazardous and non-hazardous)?	No
8.3 the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4 the use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the <a href="#">Montreal Protocol</a>, <a href="#">Minamata Convention</a>, <a href="#">Basel Convention</a>, <a href="#">Rotterdam Convention</a>, <a href="#">Stockholm Convention</a></i>	No
8.5 the application of pesticides that may have a negative effect on the environment or human health?	No
8.6 significant consumption of raw materials, energy, and/or water?	No

## ANNEX 3: Risk Log

Project Title: Global Policy Center for Governance		Project Number:	Date: May 2022		
#	Description	Risk Category	Impact & Likelihood = Risk Level	Risk Treatment / Management Measures	Risk Owner
1	Changing development priorities (national; regional; UN) prevents robust engagement on governance issues	Strategic	P = 3 I = 4	Engage in early horizon scanning to identify emerging governance issues. Routine engagement of RBx and COs to monitor key political decisions and circumstances for adaptation of research. Creating a flexible, quality project framework that will allow for adaptive implementation.	Centre Director
2	Lack of financial resources mobilized to enable the full implementation of the project.	Strategic	P = 3 I = 3 Moderate Risk	Centre will develop a resource mobilizing plan that will be implemented and adjusted, as need be, through the implementation of the project. Partnering with BERA, the team will identify specific funding opportunities. Engagement of governance partners in the co-creation of governance solutions will build strong relationships with potential donors. Continue to be responsive to donor concerns and questions and conduct regular consultation and communication through for example, partner meetings	Centre Director
3	Lack of interest and/or capacity at country level – both CO and national partners – to engage in co-creation and testing of governance solutions	Operational	P = 2 I = 3 Moderate Risk	Centre will incubate interest from select country level partners by having them a part of the design of governance solutions. Capacity support will be provided to CO and national partners to enable them to be active participants in the incubation of ideas and solutions and to better understand and use governance data.	Centre Director

	and/or adoption of new data driven-approaches				
4	Delays in hiring or turnover in core staff and technical experts to deliver project.	Organizational	P = 4 I = 4  Substantial Risk	The Centre will work with UNDP operational staff to limit the barriers and time required from posting of key positions to hiring. Work with the expert roster management team to build a cadre of technical experts that are on the roster and ready for deployment. Maintain the highest quality of governance expertise at the Centre, including through opportunities to acquire staff through loan arrangements and other in-kind contributions and establishment and maintaining effective knowledge management tools.	Centre Director
5	Internal coordination and contestation within UNDP prevents effective delivery of results.	Operational	P = 2 I = 3  Moderate Risk	The Centre will be implemented in accordance with UNDP integrated governance offer. Coordination amongst global programme teams and bureaux team lead leaders will be routine and allow for the enhancement of collaboration with the addressing of any emerging operational challenges.	Centre Director
6	Governance stakeholders show lack of interest in collaboration with the Centre to conduct research and/or create new governance solutions	Strategic Operational	P = 3 I = 3  Moderate Risk	The Centre will establish an Advisory Group to provide guidance on co-creation efforts. Networks will be established that allow the Centre to promote gravitas and neutrality of UNDP as well as access to country level data as selling points for engagement.	Centre Director
7	Changes within UNDP impacts strategic	Organisational	P= 3 I = 3	Effective engagement with UNDP review and dialogue with BPPS and CB senior management.	Centre Director

	direction and priorities that undermine the efficient and effective function of the Centre.		Moderate Risk		
8	External <i>Force Majeure</i> (Pandemic; Conflict) limits Centre's ability to convene stakeholders for collaboration	Strategic/ Operational	P=2 I=4  Moderate Risk	Monitoring of global risks to identify and adapt to such risks as the case requires.	Centre Director
9	The Centre's outputs fail to impact external and internal target audiences.	Strategic	P= 2 I = 4  Moderate Risk	Consultation with target audiences on work planning. Sufficient resources allocated to dissemination and communication. Ensure well anchored within the GPN.	Centre Director

Probability (P) and Impact (I) scored low (1) to high (5)

## Annex 4: Project Board Terms of Reference

### TERMS OF REFERENCE

#### UNDP GLOBAL POLICY CENTRE FOR GOVERNANCE PROJECT BOARD

##### BACKGROUND

The UNDP Global Policy Centre for Governance has been built on the 20-year experience of the previous Oslo Governance Centre. The new Centre has a mandate to provide thought leadership on governance challenges and to facilitate the research and development of ideas and solutions to such challenges. It will also have an external role of building partnerships and creating space with governance stakeholders (policymakers; researchers; practitioners) to co-create governance related knowledge, insight and data, and a mandate to communicate boldly on critical and controversial governance issues. A key aspect of this new mandate is to identify strategic research and engagement agendas that will result in insight, data and knowledge that can be applied by programmatic actors and policy-makers. The Advisory Board will provide strategic guidance for Project Board deliberations and decisions.

The Centre will be governed by the **Project Board** chaired by the Director of UNDP/BPPS. The following provides the details as the mandate of the Project Board.

##### DUTIES, FUNCTIONS/ RESPONSIBILITIES OF THE PROJECT BOARD

- The Project Board will provide direction and strategic guidance to support the successful delivery of the Centre's outcomes
- The Project Board has the following responsibilities;
  - a) Provide overall strategic guidance and strategic direction on the project;
  - b) Discuss and approve the main research and engagement agendas around which the Centre's thematic work will be focused, as defined in this project document (see Strategy Section);<sup>29</sup>
  - c) Approve changes to the results framework on level of output statement, as laid out in the project document;
  - d) Approve the top-level aggregated budget, the top-level aggregated Annual Work Plan (AWP);
  - e) Approve major deviations from the AWP. Deviations are defined as major if they impact significantly on the outcome-level in the results framework;
  - f) Provide guidance and agree on possible countermeasures/management actions to address specific risks;
  - g) Address project issues as raised by the Centre Director;
  - h) Appraise the Project Annual Review Report, making recommendations for the AWP; and
  - i) Support the Centre's resource mobilization efforts.

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<sup>29</sup> The Centre will provide the Board with a suggested set of *research and engagement agendas* formulated on the basis of a demand analysis as described in the strategy section of the project document and on the basis of input from the Advisory Board. The Project Board shall make decisions relating to research agendas in a way that allows for long-term planning for delivery, and as such be based in favour of rolling over and updating research agendas year-on-year.

## MEMBERSHIP /COMPOSITION

- The Project Board will have up to twelve (12) members maximum with the following composition;
  - **Executive (Chair)** : Director of BPPS (or a delegate on the Director's behalf)
  - **Senior Beneficiary** : Deputy Directors of UNDP Regional Bureaux and BERA, ExO representative (7)
  - **Senior Supplier**: Norway/NORAD, other funding partners, Deputy Director of Crisis Bureau
- The Centre Director will serve as Ex-officio Secretary of the Board
- Membership of the Project Board can be expanded or amended as required, with the agreement of Project Board members to invite participation of other UNDP units, future major donors and supporting/collaborating organizations.
- Board Members will be expected to participate fully in all meetings and discussions.
- Board Members will not be remunerated for their participation, but travel and subsistence expenses will be reimbursed.

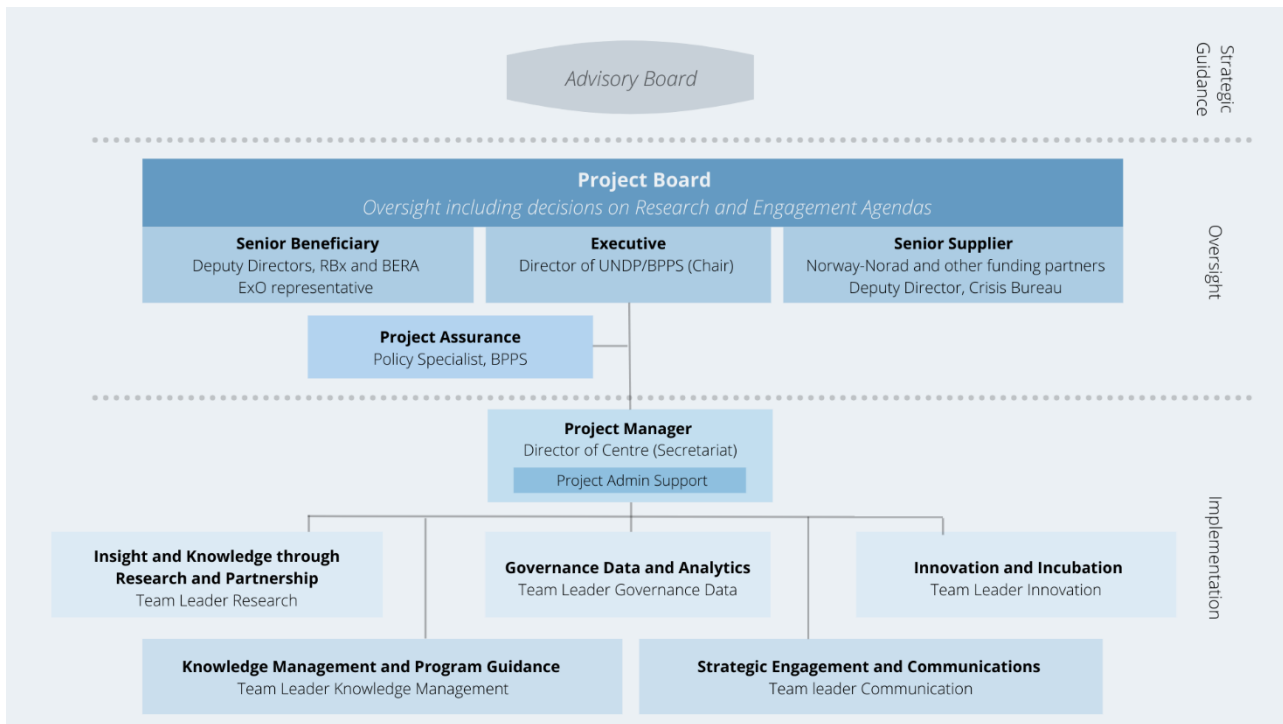
## MEETINGS AND DECISION-MAKING

- The Project Board will meet annually, or more frequently if deemed necessary by the Chair.
- The Project Board will normally be convened in Oslo or New York. Board members unable to participate in person may participate remotely. Board members unable to participate in a given meeting may provide written comments within a specified time period.
- Before conducting Board business, the Board will ascertain that it has reached a quorum. A quorum will exist when the Executive (or his/her chosen delegate), the Project Manager (Centre Director) and half of the senior beneficiaries/senior suppliers are present. If a quorum cannot be reached, the meeting shall be adjourned immediately.
- The goal of the Board will be to function through consensus, however if consensus can't be reached, final decision shall rest with the Executive.
- Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

## AGENDA AND MINUTES

- The Board meeting agenda, approved by the Chair, shall be circulated to all members by the Secretary in advance of the scheduled Project Board meeting.
- All Board meetings will be recorded in writing. A draft copy of the minutes of each meeting, approved by the Chair, shall be circulated to the members of the Board after the meeting for the purpose of adopting and verifying the minutes.

## PROJECT ORGANISATION STRUCTURE



## SPECIFIC ROLES AND RESPONSIBILITIES OF PROJECT BOARD MEMBERS<sup>30</sup>

### EXECUTIVE

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

- Ensuring that there is a coherent project organisation structure and logical set of plans
- Setting tolerances in the Annual Work Plan (AWP) and other plans as required for the Project Director
- Monitoring and control of the progress of the project at a strategic level
- Ensuring that risks are being tracked and mitigated as effectively as possible
- Briefing relevant stakeholders about project progress
- Chairing Project Board meetings

### SENIOR BENEFICIARY

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

- Ensuring the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promoting and maintaining a focus on the expected project output(s)

<sup>30</sup> From UNDP's "Programme and Project Management Roles" available [https://info.undp.org/global/documents/ppm/Programme and Project Management Roles.doc](https://info.undp.org/global/documents/ppm/Programme%20and%20Project%20Management%20Roles.doc)



- Prioritising and contributing beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Resolving priority conflicts

### **SENIOR SUPPLIER**

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

- Ensuring that progress towards the outputs remains consistent from the supplier perspective
- Promoting and maintaining a focus on the expected project output(s) from the point of view of supplier management
- Ensuring that the supplier resources required for the project are made available
- Contributing supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes.
- Arbitrating on, and ensure resolution of, any supplier priority or resource conflicts

## Annex 5: Advisory Board Description of Responsibilities

### DESCRIPTION OF RESPONSIBILITIES

#### UNDP GLOBAL POLICY CENTRE FOR GOVERNANCE ADVISORY BOARD

The following provides a description of the responsibilities of the Advisory Group:

#### DUTIES, FUNCTIONS/ RESPONSIBILITIES OF THE ADVISORY BOARD

- The Advisory Board will provide strategic advice and guidance to the Project Board and staff to support the successful delivery of the Centre's outcomes and outputs
- The Advisory Board has the following responsibilities;
  - Provide guidance on suggested *Research and Engagement Agendas* to be proposed to the Project Board
  - Providing guidance on establishing the Centre as a global thought leader on governance
  - Support the building of partnerships between the Centre and relevant global leaders on governance;
  - Promoting the work of the Centre amongst relevant networks;
  - Advising on key directions to ensure the Centre's work is sustainable;
  - Alignment of the Centre's research and analysis with prevailing trends and developments related to governance support;
  - Provide recommendations for research agendas and lines of inquiry;
  - Provide overall guidance on the project, ensuring it remains within its agreed mandate;
  - Provide guidance on possible countermeasures/management actions to address specific risks;
  - Provide advice on project issues as raised by the Director;
  - Offer guidance on major funding proposals; and
  - Support the Centre's resource mobilization efforts.
- The Advisory Board shall through the Project Manager (Director of Centre) advice the Project Board in its deliberations. Notwithstanding, Advisory Board members may be invited to attend Project Board meeting as observers. Ordinarily the Advisory Board would meet in advance of the annual Project Board meetings, to be able to provide effective and timely advice.
- The Board may be assisted by resources from the Centre and additional consultancy support, if deemed necessary. The Advisory Board may propose to the Centre where additional resources are required in support of the Board's objectives.

#### MEMBERSHIP /COMPOSITION

- The Advisory Board will have up to ten (10) members maximum with the following composition:
  - The Advisory Board will be co-chaired by
    - the Director of the Centre; and
    - one member of the Advisory Board selected by the Advisory Board members.

- Membership of the Advisory Board can be expanded or amended as required, with the agreement of Board to invite participation of other UNDP units, future major donors and supporting/collaborating organizations.
- Board members will be expected to participate fully in all meetings and discussions.
- Board Members will not be remunerated for their participation, but travel and subsistence expenses will be reimbursed.
- Each member will be appointed by the Centre Project Board for a two-year term that can be renewed one further time for a total of four years per member.
- The Head of Governance (UNDP/BPPS) and the Head of Crisis Prevention, Peacebuilding and Responsive Institutions (UNDP/CB) are *ex-officio* members of the Advisory Board.
- Membership shall be determined by the Project Board
- Advisory Board members shall meet the following minimum qualifications:
  - Have significant experience in the field of governance as a
    - Practitioner (working for a multilateral, bilateral or iNGO with a mandate related to governance reform);
    - Academic;
    - Researcher; or
    - Policymaker (government official, parliamentarian, civil society actor) focused on the development of theoretical or practical governance tools and ideas and their application in real-world scenarios;
  - Experience in building partnerships to develop and/or deliver governance reforms.

## MEETINGS AND DECISION-MAKING

- The Advisory Board shall meet annually, or more frequently if deemed necessary by the Chairpersons.
- The Advisory Board will normally be convened in Oslo or New York. Members unable to participate in person may participate remotely. Members unable to participate at a given meeting may provide written comments within a specified time period.
- The goal of the Advisory Board shall be to function through consensus, however if consensus can't be reached, final decision shall rest with the Chairperson.
- Advisory Board guidance and recommendations shall be made in accordance with standards that ensure management for development results, value for money, fairness, integrity, transparency and effective international competition.

## AGENDA AND MINUTES

- The Advisory Board's meeting agenda, approved by the Chair, shall be circulated to all members in advance of the scheduled meetings.
- All Advisory Board meetings will be recorded in writing. A draft copy of the minutes of each meeting, approved by the Chair, shall be circulated to the members of the Advisory Board after the meeting for the purpose of adopting and verifying the minutes