

PROJECT DOCUMENT

Project title: Global Programme on Strengthening the Rule of Law and Human Rights for Sustaining Peace and Fostering Development

BRIEF DESCRIPTION

UNDP has long-recognized that strong commitments to the rule of law and human rights are imperative to achieving and sustaining peace and building resilience, as well as to realizing the vision now set forth in the Sustainable Development Goals. These commitments were crystallized in 2008 when implementation of the first phase of the *Global Programme on Strengthening the Rule of Law in Conflict and Post-Conflict Situations* commenced implementation. Prior to 2008, UNDP supported sporadic justice and security projects across a handful of contexts. However, during the first two phases of the Global Programme (2008-2011, 2012-2015), the breadth and depth of UNDP's contribution to fostering the rule of law, justice and security in crisis contexts expanded considerably. In addition, UNDP's contribution to global knowledge on development approaches to rule of law in crisis and to UN coherence also significantly increased. Today, following nearly a decade of concentrated effort and results facilitated through the Global Programme, UNDP is seen as a global policy leader, an international partner of choice, and the main implementer of comprehensive, sector-wide rule of law programmes in the UN system. Its track record includes delivery of targeted assistance to nearly 40 countries and contexts affected by crisis, fragility or conflict – each programme having been tailored to the unique needs presented in each situation.

UNDP's *Global Programme on Strengthening the Rule of Law and Human Rights for Sustaining Peace and Fostering Development* (2016-2019) is designed to increase justice, security and respect for human rights in contexts affected by crisis, conflict and fragility. Seven key interlinked programme areas form the blueprint for UNDP's engagement on rule of law assistance in these settings:

- A political environment which strengthens rule of law and human rights
- Capable and effective justice and security institutions
- Community security and armed violence reduction
- Strong national human rights institutions
- Access to justice for vulnerable and marginalized groups
- Transitional justice
- Justice, security and human rights for women and girls

Building on the UN System processes that aspired during Phase 2 of the Global Programme, UNDP affirms its commitment to the Global Focal Point and to joining with UN System actors to increase justice, security and respect for human rights specifically in contexts affected by crisis, conflict and fragility. Accordingly, the objective of the Global Programme remains to expand UNDP's work in this critical area for human development, and to ensure that these efforts contribute to broader UN and international processes in the rule of law area. In accordance with the maturation of the Global Focal Point since 2012, UNDP, along with DPKO now lead and facilitate all UN rule of law efforts in conflict-affected and post-conflict environments – including Mission, non-Mission and transition settings. Accordingly, Phase 3 of this Global Programme is placed wholly at the disposal of the UN system with its ability to deliver assistance aligned to national priorities; mobilize and leverage resources for joined up implementation; and generate knowledge and top-notch analysis to serve the highest levels of decision-making.

Programme Period:	2016-2020
Key Result Areas (Strategic Plan) Outputs 2.3, 3.4, 3.5, 4.2	
Atlas Award ID:	96755/100685
Start date:	01/07/16
End Date	30/06/20
PAC Meeting Date	07/06/16

Total resources required:	US\$ 92M
Total allocated resources:	_____
• Regular:	_____
• Other:	
o US	US\$ 19M
o UK	US\$ 16M
o Switzerland	US\$ 3M
o Germany	US\$ 1.4M
Unfunded budget:	US\$ 52.6M

Agreed by (UNDP):



I. DEVELOPMENT CHALLENGE

1.1 Situation analysis

In the last years, phenomena such as urbanization, technological development, and revolutionizing social patterns, have led to rapid economic growth and record low levels of extreme poverty. These changes have had positive effects on the lives of millions; however, for many others these transformations have come at the cost of widening of inequality gaps, weakened political settlements, and the marginalization of women, youth and other disenfranchised communities. Additionally, some societies continue to experience endemic conflict, lack of democratic political space, systemic human rights abuses, or complex political transition – circumstances which all pose significant challenges to sustaining peace and security, and fostering human development. Enabling a safe, secure and just environment is essential to ensuring that people can live peaceful and prosperous lives. Thus, in the current global environment, where risks of economic and political crises persist and unexpected health and environmental threats continue to emerge, fostering respect for the rule of law and human rights ensures that a State is able to protect its people and provide the space for sustainable, equitable development.¹

But building the rule of law and establishing respect for human rights in complex contexts are long-term, complicated endeavors. Recent events in countries like South Sudan, Ukraine and the Central African Republic illustrate how drastically efforts to strengthen respect for human rights, justice and security through broader peacebuilding and state building initiatives can be undermined when violence, human rights violations and political crises loom. In regions like Latin America and the Caribbean, and the Middle East and North Africa, where high levels of armed violence and widespread human rights violations prevail, some populations continue to live in an environment of insecurity and impunity because they lack the protection of effective justice systems. In protracted conflicts, such as in Syria and Afghanistan, endemic insecurity, ineffective and discriminatory justice and security institutions, and continued disregard for people’s rights contribute to the destruction of livelihoods. In settings such as these, individuals, communities and entire societies suffer the violent and unjust consequences of the breakdown in the rule of law and respect for human rights.

Additionally, the UN system and broader international community continue to search for effective means by which to address the following conditions and mitigate associated risks to rule of law and human rights across both peacebuilding and development contexts, including in middle income countries:

Persistent Inequality and Exclusion: Inequality in and exclusion from political, civil, social and economic spheres, while certainly not new phenomena, continue to drive fragility and disrupt social cohesion. In recent years, the resulting tensions have taken many forms – protest, violent demonstrations, or the rise of powerful parallel structures such as criminal gangs, armed opposition groups, and extremist groups that seek to disrupt society or rectify perceived exclusion through violence, intimidation and other means (see below). Additionally, the increasing availability of information and tools for social mobilization have at times resulted in sporadic eruptions of violence, both small and large scale. Persistent gender inequality and discrimination against women continue to perpetuate high levels of sexual and gender-based violence, as well as demonstrate a lack of political commitment or responses for women’s human rights, security and access to justice. Indigenous people and other minorities (e.g. sexual, ethnic or religious) in certain countries also face exclusion and discrimination, compounded for

¹ The UN defines the rule of law as, “a principle of governance in which all persons, institutions and entities, public and private, including the State itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards.” (S/2004/616)

women, youth and other vulnerable persons within these groups. In addition to contributing to instability and outbreaks of both political and interpersonal violence, systematized inequality and exclusion render people deprived of human rights, reliable security, and access to justice or other recourse to address their grievances.

Violent non-state actors and other transborder threats: Risks associated with the rise of powerful and violent non-state actors are increasingly transnational in nature, affecting regional and international peace and security. The rise of the Islamic State in Syria and Iraq, the actions of Boko Haram in Nigeria, and the attacks of Al-Shabab in Kenya all show the complexity and seriousness of resulting circumstances. Similarly, the rise of transnational criminal gangs poses a serious challenge to national and regional authorities in many settings, most notably Latin America. Fueling the violent actions of such non-state armed groups is a pervasive and organized illicit arms trade, which takes advantage of weak or failing state institutions, endemic corruption, and porous borders to deliver modern instruments of violence. Each of these conditions undermine legitimate state authority and threaten individual livelihoods. New thinking, innovative approaches, and targeted resources are required to address these conditions of pervasive violence, insecurity and criminality in order to minimize risks to international and regional stability, national resilience, community security and individual livelihoods.

Lack of durable political solutions in contexts of protracted conflict: In 2011, a significant portion of the Arab world experienced major political upheaval unlike the world had seen in several decades. Also in 2011, South Sudan obtained independence from Sudan, ending the African continent's longest standing civil war. These events gave rise to hope for positive transitions from authoritarianism and oppression to systems of democratic governance. But protracted conflict and a lack of durable political settlements several years later (due in part to factors such as the presence of spoilers, unaddressed grievances and widespread violence), have prevented these transitions in South Sudan and Arab countries such as Syria, Libya and Yemen from consolidation. Each of these societies continues to experience civil war, persistent insecurity and socio-political and -economic turmoil. "Inclusive enough" political solutions,² which are founded on the principles of democratic governance and rule of law, commit to peace and promote social order, political participation, and territorial integrity, all whilst balancing the interests of rival elite groups have yet to be reached. As a result, many individuals and entire communities live under daily threat of violence, of human rights violations, and continued inability to construct and maintain basic livelihoods.

Internally displaced populations and mixed migration/refugee flows: Persistent conflict and decreased economic activity in countries such as Syria and Libya have affected governance, economic growth, and the provision of basic services to the population. This has led to an increase in mixed migrant and refugee flows, as people seek ways and means to improve livelihoods for themselves and their families. In host communities such as Turkey, Jordan, and Lebanon, the influx of mixed migrants and refugees has increased tensions with the local population. Communal tensions have been driven by perceptions of competition over jobs, finite access to local services and infrastructure, criminality, and ill-treatment. Making matters worse, justice and security services, and national human rights systems in these settings are often inadequately resourced, and structurally cannot sustain the heightened demand. Most of the refugees fleeing to Europe are no longer coming from inside Syria, but rather from host communities themselves, indicating the worsening standards of living in these places. A rapid response to these immediate shocks as well as long-term solutions for fostering resilience, the ability of state institutions to absorb heightened demand through increasing service delivery, creating an enabling legal

² World Bank, The 2011 World Development Report: Conflict, Security and Development, Washington DC, 2011

environment and developing a legal framework to protect migrants, displaced people and refugees, and strengthening community security and social cohesion are all necessary.

Systemic corruption, including in judicial and law enforcement institutions: Recent perceptions surveys in almost all development contexts identify corruption (including bribery and nepotism) and abuse of power as problems that people face daily when interacting with the justice system and law enforcement. However, international rule of law assistance has been largely unable to address these structural, behavioral, and cultural issues that can actually have a lasting, positive impact on people's trust in rule of law institutions.³ Furthermore, technical programming is often unsuccessful when implemented in a political vacuum. As a result, development actors have struggled to find sustainable approaches that address the roots of these problems, and proceed with technical programming approaches despite limited evidence of transformational change.

1.2 Rationale

It is against this backdrop that the UN System continues its long-standing provision of rule of law, justice, security and human rights assistance to crisis-affected and fragile situations across a range of settings. Additionally, recent system-wide developments provide a framework for the justification and delivery of this assistance. When taken together, these outcomes (and their preceding processes) emphasize the need to ensure strong linkages between, and coherent, coordinated efforts in the humanitarian, peace, and development spheres.

The Sustainable Development Goals

As the era of the Millennium Development Goals (MDGs) came to a close in 2015, Member States and the broader international community hit a critical juncture with the opportunity to better align peacebuilding and development trajectories in formulating Agenda 2030 and the Sustainable Development Goals (SDGs). With the adoption of the SDGs in September 2015, Member States reaffirmed their commitment to “leave no one behind” in the quest “to free the human race from the tyranny of poverty and want, and to heal and secure our planet.”⁴ With the acknowledgement that human development must encompass the priorities of peace and security, the international community endorsed a new, more comprehensive framework for advancing global development in the face of the complex, multidimensional challenges it currently faces.

The 2030 Agenda affirms that sustainable development cannot be realized in absence of peace, or without building just and inclusive societies, based on respect for human rights, the rule of law and effective and accountable institutions. Building on the normative and political commitments contained in the Millennium Declaration and the MDGs, Goal 16 in particular provides new and unprecedented space for strengthening the rule of law, justice, and security and promoting human rights, and commits Member States to: “Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels.” As the embodiment of an unprecedented global commitment to strengthen rule of law, human rights, transparency and accountability, Goal 16 is not only a momentous aspiration in its own right, it is also the “enabling goal” for the entirety of Agenda 2030. The targets for Goal 16 speak to protecting fundamental freedoms, promoting participation, non-discrimination and access to justice, and elevating civil and political rights relative to human rights standards. Importantly, the SDGs are

³ Vivienne O'Connor, A Guide to Change and Change Management for Rule of Law Practitioners, January 2015. Available at: <http://inprol.org/inprol-publications>

⁴ See <https://sustainabledevelopment.un.org/post2015/transformingourworld>

entrenched in human rights principles, and include a powerful pledge to address inequalities within and between States and to eliminate discrimination in laws, policies and practices.

Through each of these elements, the rule of law and human rights serve their purpose in helping to achieve just and peaceful societies where inequality is reduced and economic growth is enabled; rights are allocated and enforced for all segments of society, including those most vulnerable; violent crime and conflict are mitigated and prevented; natural resources are sustainably managed; and accountability and checks on power are strengthened. To ensure these elements are effectively addressed through the SDGs, effective governance capacities at all levels and commitment to the rule of law, improved security and human rights (including political will and leadership) will be required. People must also be empowered to actively participate in global, national and local decision-making – especially those most excluded and vulnerable – to improve their own livelihoods. This requires sustained momentum and integrated action from a broad coalition of partners, Member States, UN bodies and agencies, civil society, and the private sector.⁵ The UN system has been called to take strategic and integrated action to support these ends and the broader implementation of this new development agenda.

Other UN system responses

The Global Focal Point for Police, Justice, and Corrections: In September 2012, UN system rule of law assistance delivery was united under a single arrangement now commonly referred to as the **Global Focal Point (or ‘GFP’) for Police, Justice and Corrections Areas in the Rule of Law in Post-Conflict and Other Crisis Situations**. Recognizing the need to bring alignment and coherence to these areas, Secretary-General Ban Ki Moon appointed UNDP and the Department of Peacekeeping Operations (DPKO) to lead the Global Focal Point Arrangement, owing to the considerable experience and capacity to deliver of these actors in the rule of law area.⁶ The Global Focal Point now provides a united front for UN rule of law assistance in crisis contexts, with the aim of streamlining assessment, planning and delivery to improve overall impact. The Global Focal Point achieves greater impact through joint approaches to assistance with involvement from UNDP, DPKO, UN Women, OHCHR, UNODC, PBSO, UNDP, DPKO, DPA, UNHCR, UNICEF, UNOPS, and the UN Team of Experts on Rule of Law/Sexual Violence in Conflict. This involves joint assessment, planning and implementation of rule of law initiatives at both country and headquarters levels; joint resource mobilization to fund new and ongoing initiatives in non-mission contexts and complement assessed budget resources in mission contexts; and the joint generation and provision of knowledge, human capacity and expert technical advice to national partners, as well as UN and international leaders in the field to ensure effective rule of law reform that instills the components needed to establish a rule of law culture in crisis-affected situations. Through this innovative arrangement, Global Focal Point partners deliver support in a predictable, accountable and efficient way.

Recent UN system reviews and large-scale initiatives: Alongside its service to the new 2030 development agenda and Goal 16, the current trajectory of the UN System’s rule of law and human rights assistance also cross cuts many recent developments within the peacebuilding and humanitarian dimensions. In 2015, having recognized the impact of today’s sociopolitical issues, and the necessary alignment across the UN System’s humanitarian, peacebuilding and development work, the Secretary-General initiated a number of important reviews of UN areas of work – namely Peace Operations, the Peacebuilding Architecture and the implementation of UNSCR 1325 on women, peace and security. The final reports of the **High-Level Independent Panel on Peace Operations (HIPPO)**, the **Advisory Group of Experts on the Review of the Peacebuilding**

⁵ A framework for enhancing the required financing to support this new agenda was laid out at the Third International Conference on Financing for Development in Addis Ababa in July 2015. Among others, this framework includes relevant recommendations on financing for “Delivering social protection and essential public services for all,” and “Promoting peaceful and inclusive societies.”

⁶ This decision was formalized through a policy committee decision (2012/13 of 11 September 2013).

Architecture (AGE), and the **Global Study on UNSCR 1325** highlighted common themes relevant across all areas of UN work, each of which the Global Programme is well-suited to support:

- The importance of *conflict prevention* emerged as a key theme across all reports. AGE in particular emphasized that the UN must see sustaining peace as its core work, as mandated by the UN Charter. All of the Organization's engagement, from preventive action to peacemaking, peace enforcement, peacekeeping, and post-conflict recovery assistance (including to medium and long-term development processes) should be guided by the principles of conflict prevention and the collective commitment to make prevention work. The reports also note the primacy of political solutions and engagement with key stakeholders as opportunities to bring attention to early conflict prevention priorities.
- Strengthening *partnerships* with Member States, in and with the Security Council and the General Assembly, UN Country Teams, regional organizations, civil society organizations, and other bilateral and international organizations was a recurrent theme in all reviews. HIPPO promoted partnerships with the AU, AGE spoke to the necessity of partnering with IFIs, and the Global Study emphasized the responsibility and partnership of Member States and civil society.
- Promoting opportunities for *greater participation for women and girls*, particularly in conflict prevention and peacebuilding processes, was also highlighted as a critical role for the UN System. In addition to the need for greater inclusion and mainstreaming, there is a need for broader recognition that women who participate are not solely responsible for women's issues, but should be allowed to contribute to decision making across the full range of issues within peace processes – whether at local, national, regional or international levels.
- Additionally, each report highlighted the importance of sustained *financing and management* of resources and capacities. Key messages here included the need for greater flexibility, efficiency and coordination to overcome operational hurdles and ensure rapid responses at the field level.

In addition to these reviews, the Secretary-General set in motion the organization of the **World Humanitarian Summit** to take place in 2016. The World Humanitarian Summit will provide a platform for discussions on the changing humanitarian landscape, reforming delivery of humanitarian assistance, and its interface with development. This includes four themes of humanitarian effectiveness, reducing vulnerability and managing risk, transformation through innovation, and serving the needs of people in conflict.

Finally, the agenda of preventing violent extremism has come to the forefront of UN policymaking. In January 2016, the Secretary-General released his **Plan of Action to Prevent Violent Extremism**, which notes – on the one hand – the distinct threat to human rights and the rule of law that violent extremism poses. On the other hand, the report notes that violent extremism tends to thrive in areas where poor governance combines with a lack of respect for rule of law and human rights. It states:

“When poor governance is combined with repressive policies and practices which violate human rights and the rule of law, the potency of the lure of violent extremism tends to be heightened. Violations of international human rights law committed in the name of state security can facilitate violent extremism by marginalizing individuals and alienating key constituencies, thus generating community support and sympathy for and complicity in the actions of violent extremists. Violent extremists also actively seek to exploit state repression and other grievances in their fight against the state. Thus, Governments that exhibit repressive and heavy-handed security responses in violation of human rights and the rule of law,

such as profiling of certain populations, adoption of intrusive surveillance techniques and prolongation of declared states of emergency, tend to generate more violent extremists.”⁷

The Plan of Action goes on to state that all efforts to prevent violent extremism must be grounded in promoting and protecting human rights and respect for the rule of law, and that these are vital components of the UN response.

Human Rights Up Front: The importance of respecting and protecting human rights in conflict situations has been acknowledged for several decades (alongside the development of humanitarian law protecting persons engaged in armed conflict). Given the connections between human rights abuses and conflict eruption, and strengthening the stance that promoting and protecting human rights are important conflict prevention measures, the UN Secretary-General launched the **Human Rights Up Front** initiative in 2013 to “improve UN action to safeguard human rights around the world.”⁸ This initiative ensures that “the UN system takes early and effective action, as mandated by the Charter and UN resolutions, to prevent or respond to large-scale violations of human rights or international humanitarian law,”⁹ and proposes a number of transformative changes in the way that the UN addresses situations of serious violations of human rights. It promotes greater accountability within the UN System to operationalize country-level responses to serious human rights violations that pose high risks of conflict escalation, as well as to overcome political logjams within the UN System to human rights support. Significant changes have also been made to the role of country-level UN leadership with greater expectations placed on their ability to manage sensitive human rights and political issues. Thus, Human Rights up Front aims to increase the effectiveness of the UN system in protecting human rights and preventing conflict and strongly reiterates that supporting universal human rights and addressing early signs of serious violations (as well as their political implications) is the responsibility of the UN system.

II. STRATEGY

2.1 UNDP comparative advantage

UNDP has long-recognized that strong commitments to the rule of law and human rights are imperative to achieving and sustaining peace and building resilience, as well as to realizing the vision now set forth in the Sustainable Development Goals. These commitments were crystallized in 2008 when implementation of the first phase of the *Global Programme on Strengthening the Rule of Law in Conflict and Post-Conflict Situations* commenced implementation. Prior to 2008, UNDP supported sporadic justice and security projects across a handful of contexts. However, during the first two phases of the Global Programme (2008-2011, 2012-2015), the breadth and depth of UNDP’s contribution to fostering the rule of law, justice and security in crisis contexts expanded considerably.¹⁰ In addition, UNDP’s contribution to global knowledge on development approaches to rule of law in crisis and to UN coherence also significantly increased. Today, following nearly a decade of concentrated effort and results facilitated through the Global Programme, UNDP is seen as a global policy leader, an international partner of choice, and the main implementer of comprehensive, sector-wide rule of law programmes in the UN system. Its track record includes delivery of targeted assistance to nearly 40 countries and contexts affected by crisis, fragility or conflict – each programme having been tailored to the unique needs presented in each situation.

⁷ A/70/674

⁸ See <http://www.un.org/sg/humanrightsupfront/>

⁹ *Ibid*

¹⁰ The details and progress of these efforts in terms of country results and advancing the global agenda are documented in Annual Reports, available at: <http://www.undp.org/content/undp/en/home/ourwork/democratic-governance-and-peacebuilding/rule-of-law--justice-and-security/>

Reinforcing the rule of law, community security and respect for human rights through support to institutions, communities and design of appropriate policy is a cornerstone of UNDP's development approach lent to the UN System and is squarely set within its integrated Strategic Plan (2014-2017), in which the rule of law and human rights are featured more prominently than ever before.¹¹ The Strategic Plan emphasizes that the rule of law, justice, and security are key for sustainable development, peacebuilding and state building especially in settings affected by crisis, conflict, or political transition, and includes specific outcomes for areas such as strengthening human rights institutions, reducing armed violence, increasing access to justice and tackling sexual and gender-based violence. UNDP's work in these situations feature clearly within the Democratic Governance and Resilience-Building Areas of Work in the Strategic Plan.¹² Additionally, the Strategic Plan prioritizes UNDP's work on human rights and the human rights-based approach to development programming as an engagement principle for the organization in all three development pathways – sustainable development, democratic governance, and resilience-building – by recognizing the “intrinsic value of the body of economic, political, social, civil and cultural rights”¹³ that the HRBA upholds. The corporate theory of change emphasizes these areas as key for peace, state building and sustainable development.¹⁴ This integrated third phase of the *Global Programme on Strengthening the Rule of Law and Human Rights for Sustaining Peace and Fostering Development* (2016-2019) is built on this foundation.¹⁵

Building on the UN System processes that aspired during Phase 2 of the Global Programme, UNDP affirms its commitment to the Global Focal Point and to joining with UN System actors to increase justice, security and respect for human rights specifically in contexts affected by crisis, conflict and fragility. Accordingly, the objective of the Global Programme remains to expand UNDP's work in this critical area for human development, and to ensure that these efforts contribute to broader UN and international processes in the rule of law area. In accordance with the maturation of the Global Focal Point since 2012, UNDP, along with DPKO and other partners through the Global Focal Point, now lead and facilitate all UN rule of law efforts in conflict-affected and post-conflict environments, including in Mission, non-Mission and transition settings. Accordingly, Phase 3 of the Global Programme is placed wholly at the disposal of the UN system with its ability to: **1. Deliver assistance aligned to national priorities; 2. Mobilize and leverage resources for joined up implementation; and 3. Generate knowledge and top-notch analysis to serve the highest levels of decision-making.**

1. High-quality assistance: UNDP's greatest comparative advantage lies in its current position as the largest implementer of comprehensive UN rule of law assistance, with the greatest technical capacity and cumulative experience amongst international actors. UNDP maintains a reputation with national governments and authorities as a foremost, trusted partner in both the peacebuilding and development landscapes. A primary advantage of the Global Programme, and consequently the Global Focal Point, is its ability to provide comprehensive, consistent, high-quality support to deliver effective rule of law assistance. In keeping with past practice from previous phases of the Global Programme, UNDP (in conjunction with its UN partners) maintains its long-standing innovative support to national partners through assessing, designing and supporting implementation of sector-wide justice, human rights and security projects.

¹¹ UNDP Strategic Plan (2014-2017), 11. Available at: http://www.undp.org/content/dam/undp/library/corporate/UNDP_strategic-plan_14-17_v9_web.pdf

¹² UNDP Strategic Plan (2014-2017), 11. Available at: http://www.undp.org/content/dam/undp/library/corporate/UNDP_strategic-plan_14-17_v9_web.pdf

¹³ UNDP Strategic Plan (2014-2017), 30, 36: http://www.undp.org/content/dam/undp/library/corporate/UNDP_strategic-plan_14-17_v9_web.pdf

¹⁴ See: <https://intranet.undp.org/unit/office/exo/sp2014/SP201417/default.aspx>

¹⁵ The framework for this global programme will be used to inform the development of the new UNDP Strategic Plan for 2018-2021, wherein rule of law, justice, security and human rights will be equally present. Amendments will be made to this document as necessary to demonstrate the linkages following the adoption of this new corporate framework in late 2017.

To deliver on its commitment to high-quality, cost effective support, UNDP focuses targeted attention in priority countries where capacities are often lacking in the ground. Ensuring high quality support in these situations is dependent on the reliable capacity of the UN system to deliver rapid and agile assistance immediately upon request. To support the Global Focal Point in this aim, appropriate capacities continue to be made available through the Global Programme to rapidly deploy expert assistance to develop and implement programming where it is most needed. The Global Programme is supported by a strong in-house standing capacity of rule of law experts both in New York and in the five UNDP Regional Hubs that can be deployed to assist country-level efforts with very little advance notice required. UNDP also maintains a standing capacity of independent expertise via the Crisis Response Unit Roster, which can be accessed and deployed swiftly and efficiently.¹⁶ In order to ensure that UNDP and the UN are able to respond effectively in contexts affected by complex political situations, UNDP and the Global Focal Point also engages regularly with the highest levels of UN in-country leadership to support engagement with national authorities and leaders on strengthening the rule of law and human rights. All of these efforts are undertaken with a people-centered, human rights-based approach.¹⁷

2. Resources: The Global Programme is positioned as the primary financial platform to support the Global Focal Point. This arrangement gives external partners and contributors a singular, predictable framework for financing all UN System rule of law work. Because of this unique and innovative arrangement, all investments in the Global Programme are investments in the Global Focal Point. Through the Global Programme, UNDP and the Global Focal point seed fund, improve and scale-up programme support across the full range of development contexts. Global Programme resources are also able to be used to complement assessed budget contributions in Mission and transition settings, where the provision of flexible funding adds value to on-the-ground operations. The Global Focal Point also benefits from UNDP's extensive, successful experience in resource mobilization - all resource mobilization efforts are undertaken concurrently, with the aim of building on the strong support base already garnered by both the Global Programme and the Global Focal Point. This includes both financial and in-kind contributions.

3. Knowledge generation: Due to the visibility of Global Programme amongst UN and external partners, UNDP is also uniquely situated foster policy coherence and coordination in the rule of law and human rights areas – both at the UN System level as well as in the international arena. Building on the extensive efforts undertaken in Phase 2, Phase 3 will further strengthen the capability of the Global Focal Point to capitalize on the distinct perspectives each member of the UN rule of law family brings to policymaking efforts based on their individual strengths and experiences. Through the framework of the Global Programme, UNDP in cooperation with other UN partners is positioned to lead the UN system in ensuring that rule of law is appropriately reflected as a strategic priority across the UN system, including by actively feeding into planning and policy-making processes and by regularly contributing within the global network of rule of law knowledge brokers and practitioners.

Not only does UNDP's rule of law and human rights work join up with that of other UN rule of law actors through the Global Focal Point, it also delivers alongside its other governance and peacebuilding areas of work including immediate crisis response, anti-corruption, constitutions, livelihoods (including disarmament, demobilization and reintegration), and local governance. Support to overarching efforts on conflict prevention

¹⁶ Roster expertise is available according to the following sub profiles: security sector development; policing; armed violence reduction; small arms and light weapons; transitional justice; development of justice sector institutions; rule of law for economic recovery; access to justice; human rights institutions/compliance; and constitution/legislative drafting.

¹⁷ For more on the human rights-based approach, see: <http://hrbaportal.org/>

and New Deal implementation, as well as the implementation and measurement of SDG 16 cross cuts this work, as well, and ensures a comprehensive approach to its engagement with authorities at both national and local levels.

In the human rights area, UNDP is also uniquely situated to provide support to UN coherence and coordinated assistance for effective results at country-level, as co-chair of the Human Rights Up Front initiative (alongside UNDPA). During this programmatic phase, UNDP will scale up its support human rights mainstreaming by delivering assistance to the Resident Coordinator System and other UN human rights entities through the deployment of technical and financial means to support the prevention of serious violations of human rights. The Global Programme is well positioned to take full advantage of other corporate tools and mechanisms such as the network of Human Rights and/or Peace and Development Advisors, and to follow up on Universal Periodic Review recommendations and UNCAC peer review mechanisms. Additionally, UNDP will engage with the UN Special Rapporteur on the promotion of truth, justice, reparation, and guarantees of non-recurrence to develop system-wide policy on victim's participation in national and local consultations related to transitional justice, and on long-term, multidimensional policy to ensure non-recurrence of mass atrocities. In this integrated programming phase, UNDP will be able to leverage the flexibility and convening power of the Global Programme to find innovative and lasting solutions to obstacles which inhibit the promotion and protection of human rights at country, regional and global levels.

2.2 Lessons learned¹⁸

The demand is high for justice and security services that are accessible and equitable, fair and effective, as well as for an established culture of respect for human rights and the rule of law. This is especially the case in post-conflict or crisis-affected situations, where perceptions of insecurity may be greater or legacies of past violence, injustice and abuse prevail. To respond to this demand in such settings, interventions must bring together those in need of better justice and security with those responsible for providing these services, highlighting the actual problems that people from all segments of society face and possible solutions to solve these problems. Addressing institutional deficits within the human rights, justice and security sectors – for instance, building the technical, human and financial capacity of the police, courts, judiciary, human rights institutions or legal professional actors – is undoubtedly an important component of this work.

But in many cases, institutional approaches only partially succeed in addressing the political and social dynamics that shape the interface between individuals and communities, and justice and security.¹⁹ Recent experiences in implementing some large-scale initiatives to reform justice and security institutions in places such as Afghanistan and South Sudan demonstrate that institutional approaches have not had as great of an impact on reducing violence and strengthening rule of law as was hoped for at the outset of implementation. People living in these and other complex situations still experience insecurity and violence, and often see their needs for justice go unmet. In some situations, justice and security institutions are too weak to fulfill their mandates, causing people to lose faith in the authority and ability of the state to protect them and their rights and uphold the rule of law. But even when strong institutions are in place, justice and security actors may foster political and social contestation that can lead to violence, and in the worst cases, even perpetuate violence through carrying out human rights abuses and discrimination themselves.

¹⁸ To complement these lessons learned, a comprehensive, evidence-based Theory of Change to underscore the Global Programme is currently under formulation in partnership with the Clingendael Institute. The lines of thinking put forth in this section have been developed through a consultative process with the Clingendael Institute and represent a subset of those which will be further explored in the coming months. This project will conclude by 31 December, and – while the evidence base and justification for the Global Programme's results framework will be strengthened through field research – no major changes to the programmatic framework are anticipated.

¹⁹ 2011 World Development Report, 106

Discrepancies have, therefore, occurred between the capacities strengthened and the actual justice and security needs and perceptions of the people that assistance providers have intended to serve in previous decades. Too often past programmatic initiatives focused only on the needs of institutions, instead of looking at the actual justice and security problems that affect people's ability to build their livelihoods and exercise their human rights. Thus, approaches to rule of law assistance which balance institution building with efforts that are people-centered, context-specific and favor solving the problems experienced by individuals and communities are increasingly needed in order to facilitate change that is lasting and truly transformational.

Drawing from its years of experience, UNDP believes that transformational impact in the rule of law area is achieved when assistance and implementation successfully target areas where **individuals, institutions** and the **political environment** are concurrently served. The first two phases of the Global Programme resulted in good progress in some critical areas of this assistance; for instance, in supporting institutional development to increase of justice and security service delivery in order to re-establish trust between people and state institutions, disrupt vicious cycles of instability, and provide relief and protection which are the most important concerns of people affected by conflict.²⁰ Evidence of such efforts can be drawn from the Global Programme's previous engagement in countries such as Somalia, Liberia, Pakistan and Central African Republic.²¹ Additionally, efforts through the Global Programme to foster transitional justice in complex environments emerging from large-scale conflict (such as in Bosnia and Herzegovina, Colombia, the UN Administered Territory of Kosovo²² and Tunisia) helped to foster an enabling political environment by strengthening political and popular support for human rights and the rule of law. These efforts have also assisted in building institutional rule of law capacity through, for example, strengthening prosecutorial capacities to fight impunity and prosecute Rome Statute crimes, meet individual needs through the provision of victim's support and access to free legal aid, and assist in truth-seeking and memorialization efforts.

However, in order to truly bring about transformational change, concentrated efforts must be made to place people at the center of rule of law interventions by ensuring that solutions to strengthen institutional capacity are guided by people's needs for justice, security and respect for their human rights.²³ This necessitates obtaining a better understanding of the political dimensions of rule of law and human rights reforms and interventions – including an accurate perception of power dynamics and their impact on opportunities for change – and incorporating them into assessment processes.²⁴ The planning that follows must be informed by these political economy assessments, and must be realistic about what is possible to achieve in the short, medium and long terms. For instance, in impoverished and post-crisis settings, much-needed reforms to the justice and security systems may be difficult to achieve for new or transitional governments, given the complex

²⁰ Acemoglu, D. and Robinson, J.; *Why nations fail*, 2012.

²¹ Plans to conduct a full impact evaluation of the work conducted during Phase 2 of the Global Programme were halted in 2014 due to the organizational restructuring of UNDP. However, efforts are underway to resume with this impact evaluation, and will hopefully be concluded by mid-2017. Once completed, this programme framework may be further adjusted to reflect the evaluation's findings and recommendations. In the meantime, informal analysis of activities and achievements during the previous phases have been taken into consideration at various points, in consultation with HQ, regional and country-level colleagues to inform the development of this phase of the Global Programme. This includes a thorough review of UNDP's previous and ongoing engagements as detailed in previous Annual Reports on the Global Programme, available at: <http://www.undp.org/content/undp/en/home/ourwork/democratic-governance-and-peacebuilding/rule-of-law-justice-and-security/>

²² UN Administered Territory. All designations made in this document are without prejudice to positions on status and are in accordance with UN Security Council Resolution 1244 (1999).

²³ A recent evaluation of UNDP's human rights work recommends four directions as the future priorities for UNDP's global human rights work: supporting human rights in the SDGs as part of UNDP's overall support for countries; supporting countries to strengthen their national human rights systems by building capacity to promote, protect and fulfill human rights; strengthening UNDP capacity to play its development role in the HRuF initiative; and boosting UNDP leadership support to RC/RRs and Country Directors to enable them to fulfill their human rights responsibilities.

²⁴ Bruce Jones and Camino Kavanagh, *Shaky Foundations, An Assessment of the UN's Rule of Law Agenda*, NYU-CIC, Nov 2011 http://cic.es.its.nyu.edu/sites/default/files/kavanagh_rol.pdf. See also the World Development Report, 2011.

political context that prevails during and in the aftermath of conflict.²⁵ Likewise, in fragile settings where a culture of corruption results in strong but unaccountable institutions that do not deliver equally for all, issues such as discrimination and targeted exclusion from the sociopolitical and economic realms, or sexual and gender-based violence remain unabated and leave individuals, communities and countries fractured.

2.3 Theory of change²⁶

It is with these considerations in mind that UNDP has formulated this integrated third phase of the *Global Programme to Strengthen the Rule of Law and Human Rights for Peace and Development (2016-2019)*, which is specifically designed to function in contexts where significant potential for transformational change in the rule of law and human rights areas exists – namely those affected by crisis, conflict and fragility.

Figure 1 depicts the theory of change that underpins the Global Programme and articulates a development approach for fostering a rights-based rule of law culture in which people experience greater peace and security, and have greater opportunities to exercise their rights and advance their own livelihoods. This theory of change is based on the years of UNDP experience in this area, and postulates that through high-quality, targeted assistance to key rule of law and human rights actors and institutions – when delivered through a people-centered approach – positive outcomes can be achieved in improving access to justice and redress, reducing armed violence and strengthening community security, and protecting and promoting human rights.

This theory of change yield seven interlinked outputs that, when taken together, foster lasting transformation to rule of law and human rights in these complex situations. The manner in which assistance delivered in each of these outputs is further delineated in section 3.1:

1. A political environment that strengthens rule of law and human rights
2. Capable and effective justice and security institutions
3. Community security and armed violence reduction
4. Strong national human rights institutions
5. Access to justice for vulnerable and marginalized groups
6. Transitional justice
7. Human rights, justice and security for women and girls

Building on the experience gained during the implementation of its preceding phases, this Global Programme redoubles UNDP's past efforts in these critical areas, includes new and emergent agendas in its areas of work, and brings its outreach in both the rule of law and human rights areas together in an integrated stream of comprehensive support. It is further underscored by renewed efforts to ensure high quality programming through improving quality assurances processes, mainstreaming human rights in programming, and strengthening external partnerships to support policy and programme development in a manner which strengthens the rule of law and human rights at country, regional and international levels.

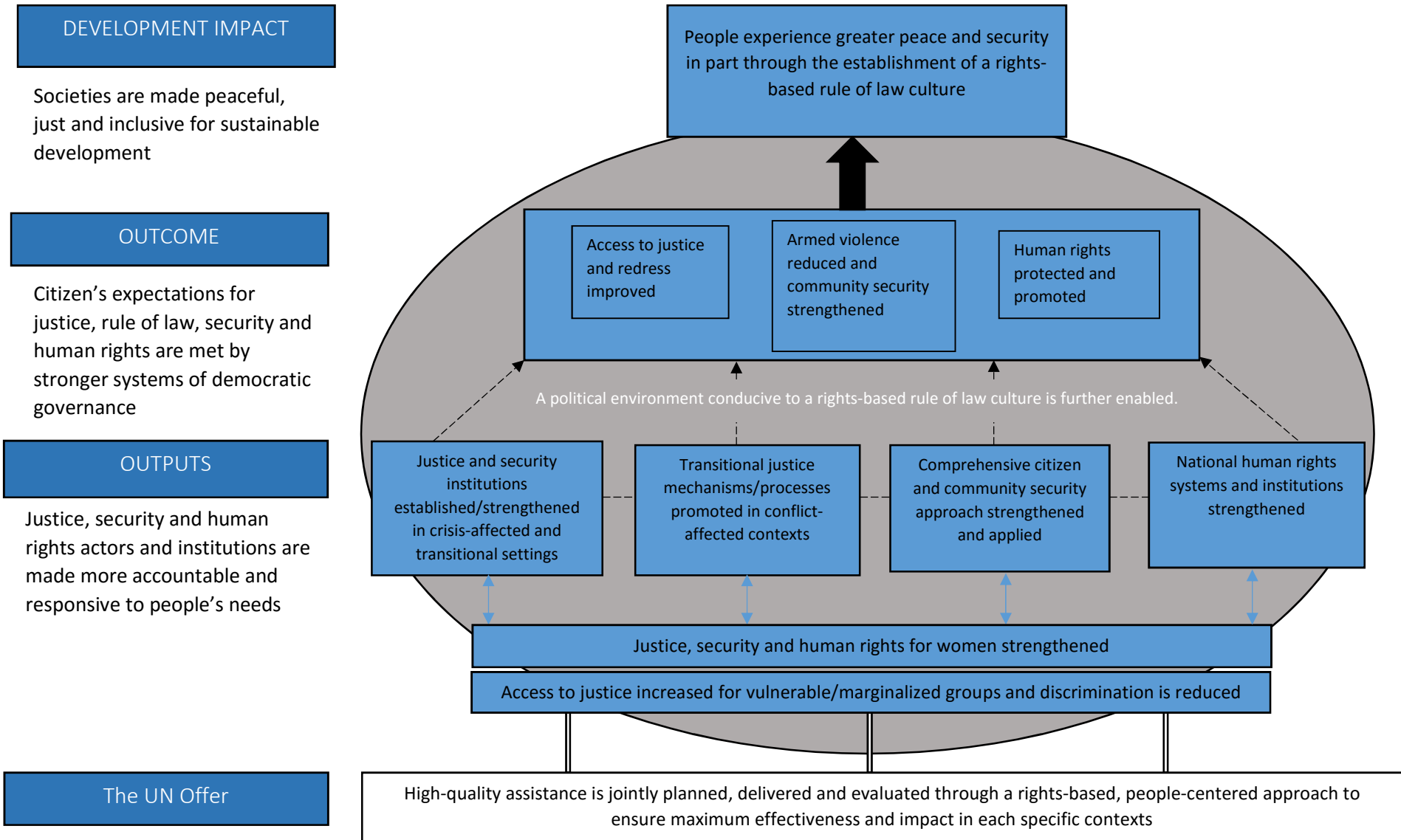
The Global Programme will continue to serve as a vehicle for UNDP's – as well as the broader UN system's – provision of political, technical, operational and financial support to UNDP Country Offices and UN Country Team efforts to support national and local authorities to implement comprehensive rule of law reform that prioritizes respect for human rights and people's needs for justice and security in environments affected by crisis

²⁵ For more information, see OECD/DAC/INCAF, "More Politics, Better Change Management: Improving international support for security & justice development programming in fragile situations," 2013.

²⁶ This Theory of Change is included on a provisional basis, and will be finalized once the Clingendael initiative to gather and synthesize evidence from the field (referred to earlier in Footnote 18) has concluded.

and fragility. In this capacity, UNDP emphasizes its commitment to convene the UN system and catalyze innovative and effective rule of law and human rights work.

Figure 1: A results-based Theory of Change



III. RESULTS AND PARTNERSHIPS

Building on past practice, UNDP's global rule of law and human rights assistance continues to emphasize enhancing physical and legal protection of people and communities, ensuring legal representation, access to justice, and empowering communities and civil society. It seeks to develop capacities of justice and law-enforcement institutions, and ensure that security providers are subject to civilian oversight. Particular emphasis is placed on tackling sexual and gender-based violence and improving justice, security and human rights for traditionally marginalized, socially-excluded and oft-stigmatized groups in situations affected by conflict and fragility. As such, the Global Programme will undertake work within the parameters of the seven interrelated focus areas outlined below through a people-centric, human rights-based approach to building rule of law culture. Through its work in these focus areas, UNDP will support national partners to address individual and community needs, support enabling attitudes and behaviors, and balance power dynamics to favor inclusion and participatory processes to achieve strengthened rule of law and human rights.

3.1 Outputs and expected results

For the purposes of highlighting the broad spectrum of UNDP's support to rule of law, justice, security and human rights, these areas are presented as singular, expected output-level results, each with a corresponding reporting line in this programme's results framework. However, UNDP understands these areas of work to be inextricably linked, with work in each area being deeply connected to work in the others. For example, assistance to police reform could be appropriately represented and reported under Outputs 1, 2 and 3 with activities occurring to strengthen oversight and accountability (Output 1), support the development of national performance plans for community-oriented policing (Output 2), and implementation of community-oriented policing at the local/community levels (Output 3). These linkages are articulated in each country-level project document based on assessments of context-specific circumstances.

Additionally, as shown in Figure 1, these outputs are aimed to address varying levels of results within the theory of change. Outputs 2, 3, 4 and 6 directly aim to improve the capability and responsiveness of rule of law and human rights institutions – at both national and local levels – in delivering services, protecting rights, and facilitating processes that are inclusive and effective. In other words, these outputs address the supply side of the rule of law equation. On the demand side is Output 5, through which UNDP seeks to nurture public trust and confidence by supporting popular demand for accessible, effective rule of law services through support that is closely linked to that of outputs 2, 3, 4, and 6. Output 7 cross cuts all the other outputs with its explicit focus increasing justice, security and human rights for women. This is complemented with the focus on reducing discrimination and improving the situation of vulnerable and marginalized groups of Output 5. Finally, Output 1 speaks to the long-acknowledged but rarely-addressed political factors which need to be effectively engaged by national and international actors alike to establish an environment in which a rule of law and human rights culture can be sustained.

The following sub-sections present a brief analysis and overview of the key support that will be provided to achieve each of the Global Programme's expected outputs.

Output 1: A political environment that strengthens rule of law and human rights is further enabled.²⁷

In crisis and conflict-affected contexts, particularly those with a legacy of political violence or undergoing complex political transition, establishing the rule of law is essential to preventing the outbreak or recurrence of conflict. However, the extent to which this is possible is often dependent on the political will of political leaders and powerful societal stakeholders to abide by the social compact.²⁸ Thus, rule of law programming must take into account the political environment in which it is meant to be implemented, and the political obstacles it must overcome to achieve its objectives in the short term, and contribute to transformational change in the long term. However, past international practice has often been unable to address these political dimensions, and international actors have instead reverted to overly technical approaches in attempts to solve political problems.

This is largely due to two circumstances. Firstly, rule of law experts over the years have largely taken a technical approach to their work, without fully considering the transitional context or the potential drivers of change that justice institutions and other public institutions can represent. This has resulted in a programming approach which aims to only fill institutional capacity deficits even in contexts where the needs are inherently political.²⁹ Secondly, even where the need for a political approach is recognized technically-oriented rule of law approaches may serve as the only common ground for cooperation with the host government that might be less willing to immediately accept more politically-oriented approaches. In these situations, rule of law support may be formulated in technical terms to avoid criticism and conflict with the authorities.

Because of these two established practices in rule of law assistance, projects and programmes have often been planned without parallel or phased engagement at the political level to ensure that authorities and institutions alike are capable of upholding the rule of law and addressing the root causes of societal grievance (especially in contexts marred by violent conflict). There is thus a need to think and work more “politically smart” when engaging in rule of law programming in order to avoid ineffectual or counterproductive approaches to delivering assistance.³⁰

While UNDP has been actively engaged in efforts to strengthen the political accountability and transparency of rule of law institutions and actors for a number of years, this integrated third phase represents the Global Programme’s first explicit acknowledgement that a concentrated focus on contributing to efforts to establish a political environment which strengthens rule of law and human rights is a necessary condition for achieving results in other focus areas. There is a sufficient foundation on which to build this area of work. Firstly, an explicit focus on politics goes to the heart of the UN System’s renewed commitment to make prevention work. Designing rule of law programming within a conflict prevention framework – in other words, ensuring that assistance is “conflict sensitive” and accounts for the local political context – is critical to advancing more significant impact and durable results that strengthen peace and stability. In the Strategic Plan (2014-2017), UNDP has readily acknowledged the necessity of this integrated approach which prioritizes efforts to link conflict

²⁷ Much of the thinking reflected under this output follows on a recent joint initiative with the Folke Bernadotte Academy to determine best approaches for addressing political obstacles to rule of law reform. During this initiative, two field-based workshops (one in Addis Ababa and the other in Amman) and two high-level political events (both in New York) capitalized on the knowledge and experience of rule of law actors in the field and at headquarters level to share knowledge and develop guidance on context-specific engagement with national actors that fosters an enabling political environment for rule of law reform. UNDP wishes to thank Folke Bernadotte Academy for their collaboration and contribution to this endeavor. For further reading, please see Richard Sannerholm et al., ‘Responsive and Responsible: Politically Smart Rule of Law Reform...’ available at: <https://fba.se/en/how-we-work/research-policy-analysis-and-development/publications/responsive-and-responsible-politically-smart-rule-of-law-reform-in-conflict-and-fragile-states/>.

²⁸ Mustaq H. Kahn, ‘Political Settlements and the Governance of Growth-Enhancing Institutions’, University of London School of Oriental and African Studies, Working Paper (2010)

²⁹ Thomas Carothers, ‘The Problem of Knowledge’ in Carothers (ed) Promoting the Rule of Law Abroad: In Search of Knowledge (2006), 21

³⁰ For more information, visit: <http://www.gsdrc.org/professional-dev/thinking-and-working-politically/>

prevention and the establishment of effective democratic governance in order to foster the resilience a society needs to withstand shocks and stressors to the social compact. Overall, acknowledging the political dimensions of rule of law work – including through a conflict prevention lens – reflects the shift from the temporally limited objectives of “peacebuilding” to the lasting objectives of “sustaining peace.” This, as with other areas of UNDP’s rule of law and human rights work, is in line with the aims of Goal 16 to establish peaceful and inclusive societies.

In this third phase of the Global Programme, UNDP’s approach in this area seeks to align peacebuilding and development trajectories, and ensure that the linkages between political environment, institutional deficits, and the needs of people and communities to have security, access justice, and enjoy respect for human rights are taken into account. This aligns to the recommendations of both the HIPPO and AGE reports, and orients UN rule of law and human rights assistance with the primacy of politics.

Activities carried out under this output may include:

Strengthening democratic oversight and good governance in the justice and security sectors by:

- *Supporting systems and mechanisms that foster judicial independence.*
- *Strengthening systems for effective monitoring in the justice, security and human rights sectors.*
- *Promoting civilian oversight of security institutions, including through engagement of civil society.*
- *Supporting development of national roadmaps for inclusive security arrangements in accordance with international human rights standards (including informal arrangements).*

Supporting transparency and accountability for rule of law actors and institutions through:

- *Supporting anti-corruption efforts within justice and law enforcement institutions.*
- *Supporting the creation and strengthening of mechanisms that enhance accountability for political, judicial and security actors, including engagement with civil society.*

Supporting implementation of the Human Rights Up Front initiative:

- *Supporting implementation of recommendations at country level with partners through joint programmes and initiatives.*
- *Coordinating with relevant entities to strategically plan and execute deployment of technical human rights expertise.*
- *Facilitating implementation of recommendations and follow-up activities resulting from Regional Quarterly Review or the Senior Action Group mechanisms for detecting and responding to early warning signs/risks of serious violations of international human rights and/or humanitarian law.*

Fostering country-level implementation of UPR and Treaty Body recommendations:

- *Supporting UNDP Country Offices to mainstream UPR and Treaty Body recommendations in UN and national development planning processes, including justice sector reform.*
- *Supporting UNDP Country Offices to promote national consultative UPR processes, from report drafting to implementation.*
- *Facilitating peer-to-peer and/or regional exchanges on UPR implementation, in partnership with other relevant UN and international entities.*
- *Facilitating engagement between country-level human rights actors and the international human rights system, in particular with special procedures and mandate holders.*

Supporting UN System Representation both in country and at HQ to facilitate high-level engagement which promotes rule of law and human rights:

- *Providing high quality assistance to UN field presences for conducting peacekeeping/political mission reviews, as well as for developing national and UN country programmes and development frameworks to ensure awareness and integration of rule of law, justice, security and human rights.*
- *Supporting the roll-out of UNDG Guidance on Human Rights for use by UN Resident Coordinators, UNDP Resident Representatives, other senior UN officials, and UN Country Teams, as well as mandatory training for UNDP staff on human rights.*

Output 2: Capable and accountable justice and security institutions are established and strengthened to increase and improve service delivery in crisis-affected settings.

In crisis-affected and fragile contexts, rule of law institutions are frequently undermined by factors such as political conflict and violence, criminality, sociopolitical and economic marginalization, or systematic human rights violations. These circumstances – whether individually or collectively – disrupt the accessibility and effective justice and security, and tarnish the legitimacy of the institutions responsible to deliver these services. National and local authorities therefore frequently request support to assist in rapidly restoring justice and security services for the population both during and in the immediate aftermath of conflict, crisis or large-scale violence. The immediate restoration of these services helps rebuild confidence between authorities and communities by delivering peace dividends and thereby demonstrates a break from the past. Such services aim to enable communities and individuals to pursue productive livelihoods and build community resilience.

However, support to the immediate restoration of justice and security following crisis or conflict needs to be accompanied by efforts to plan medium and long-term reform to these sectors. Comprehensive reform takes time and is a process that may take a generation to take hold. But progress in reestablishing responsive and accountable rule of law institutions is essential to the foundation on which lasting peace and order can be built. Thus it is prudent to balance efforts to achieve ‘quick wins’ with those that set the stage for comprehensive reform and durable, sustained peace. Careful management of public expectations in this area is critical, and inclusive, participatory based on wide consultation can help to build trust, legitimacy and realistic expectations and may result in constructive solutions appropriate to the unique institutional problems present in these sectors in crisis settings.

UNDP emphasizes the importance of fostering capable rule of law and human rights institutions in its Strategic Plan (2014-17), which prioritizes enabling the functions and capacities of justice and security institutions to deliver on their mandates, including to improve access to justice and redress, improve citizen security, and reduce armed violence.³¹ As a point of departure for its work on rule of law institutions, the Strategic Plan acknowledges that justice and security issues and institutions are interdependent. Strengthening the rule of law through security and justice services that are inclusive and governed effectively and in compliance with international standards, that empower women to access justice, and counter impunity, especially related to sexual and gender-based violence, are critical drivers of development.³² Experience also demonstrates that when the institutional demand for accessible and responsive justice is adequately met, the level of participation in other development processes increases, conflicts between people are reduced and the sense of security and stability improves significantly. This is reaffirmed by the adoption of SDG 16.

UNDP’s approach to institution building is holistic in nature, and emphasizes confidence building between society and the State. This approach situates the organization to help national authorities in achieving quick wins

³¹ Output 2.3, 3.4 and 3.5 UNDP Strategic Plan Results Framework

³² Team of Experts *Annual Report 2011 Rule of Law and Sexual Violence in Conflict*; UN Women, *Progress of the World’s Women: In Pursuit of Justice*, 2011

through immediate restoration of service delivery, as well as deliver on comprehensive, sector-wide reforms that prioritize sustainability and national ownership over the long term. In Phase 3, UNDP will continue its support to enabling justice and security institutions to meet popular demand through enhancing the capabilities of judges, prosecutors, lawyers, civil society and the police to engage in the development of sector-wide justice and security development strategies. UNDP assistance will facilitate the development of proximate, responsive and accountable system of courts, judiciary, traditional mechanisms, and lawyers in post-conflict settings to offer services to affected populations and enable them to solve all forms of disputes and sanction criminal behavior. This support specifically includes UNDP support to orienting institutions to be especially capable of delivering justice and security for women, and countering impunity for crimes that are often gender-specific, such as sexual and gender-based violence. Attention will be paid to building capacities of governments by emphasizing rights-based policies, legislation, legal and institutional reform to assist states to meet their responsibilities, by actively enabling populations and civil society to have the space and opportunities to express their demand and supporting accountability between the two. When appropriate, these efforts may also be complemented by engagement with national and subnational institutions and actors in other sectors that may not be perceived “usual” rule of law actors. Indeed, taking a whole-of-government approach, and where possible, engaging actors in sectors such as health and education, can help bridge existing gaps and prevent further fragmentation on rule of law and human rights issues.

UNDP will also continue assistance to the implementation of measures to reform and develop security sector institutions as well as improve oversight and governance mechanisms for civilian security services. Across all of this work, UNDP will continue to place strong emphasis on establishing and reinforcing the effectiveness and legitimacy of security institutions and addressing cultural change to reduce levels of violence – including an important focus on democratic, civilian oversight and functional mechanisms for ensuring accountability.

Assisting governments to deliver effective policing services and security to populations including through the re-establishment of core functions in the aftermath of conflict will be an additional area of work. UNDP will, therefore, support the development of proximate, effective and accountable civilian security services to solve disputes peacefully as well as effective and fair mechanisms to address criminality and control small arms (notably through the use of the International Small Arms Control Standards). This includes support to management of salary payments when national budgets are compromised. UNDP also focuses on supporting Member States to ensure security services are professional and responsive to community needs through leadership development and improving strategic planning capacities. In order to promote citizen and community security, UNDP will support national and sub-national institutions to work closely with local communities, especially women and youth, to understand and respond to violence and safety needs.

In summary, context-specific activities carried out under this output may include:

Improving immediate responses in post-conflict/crisis-affected societies:

- *Providing immediate support to national rule of law and human rights actors to enable rapid restoration of justice and security functions, restore confidence, and build trust between State and society in the immediate aftermath of conflict or crisis.*
- *Facilitating communication and mechanisms for deploying personnel to respond to field requests.*
- *Building capacity and strengthen partnerships within UNDP and also with other UN/international agencies, regional organizations and Member States – including improving coordination and aligning strategies between multilateral and bilateral support – to build up available capacities on rule of law, justice, security and human rights.*

Supporting development and implementation of comprehensive, sector-wide justice and security sector strategies and plans, including through participatory processes that help create sustainable service delivery:

- *Improving national strategic planning capacity in the justice, security and human rights sectors to promote reform and long-term sustainability of service delivery that can withstand shocks and disruptions.*
- *Strengthening national capacities, in collaboration with national civil society and academia, to collect and analyze data (including obtaining a quick understanding of on-the-ground dynamics), and to monitor progress to inform policy development and planning.*
- *Strengthening performance of rule of law institutions, for instance in key bodies such as courts, prosecution services, legal aid services, police, prisons and correction systems including through engagement with users and civil society.*
- *Strengthening criminal justice institutions to fight against impunity according to due process.*
- *Strengthening the capacity of prison and other penitentiary systems to comply with international standards (including human rights standards) through means such as reconstruction, refurbishment, security, training, promoting new penitentiary solutions, and developing linkages to broader justice and security reform processes.*
- *Supporting access to alternative dispute resolution, as well as fair and just traditional justice mechanisms.*

Enabling national rule of law institutions and actors to develop and implement comprehensive approaches to reducing violence in accordance with global norms and standards, including the ISACS:

- *Supporting the development of comprehensive evidence-based violence reduction approaches at national and municipal levels through engagement across other relevant sectors for violence reduction such as public health and education.*
- *Strengthening UN and international responses to community insecurity in crisis settings based on global trends and country-specific analysis, and through better integration of approaches to SSR, AVR, DDR and small arms control.*
- *Strengthening national capacity to implement global and regional small arms control commitments, guided by the International Small Arms Control Standards.*

Output 3: A comprehensive community security approach is developed, strengthened and/or applied.

High levels of armed violence continue to inhibit development gains in many contexts, and undermine citizen and community security which allow for safe and peaceful coexistence and for the protection of a broad spectrum of human rights. Persistent violence also annuls the benefits of years of State investments in poverty reduction by negatively affecting economic growth and diverting government resources that could otherwise contribute to human development.³³ As such, armed violence puts a great burden on men and women in affected communities, even in the absence of outright conflict.

Persistent inequality and under-development are among the underlying causes of violence. Structural inequalities between the very wealthy and poor, and social exclusion, particularly in urban areas, can trigger violence.³⁴ In these contexts, security threats can emanate from numerous sources including poorly trained or managed civilian security services; armed groups and criminal gangs; or circulation and use of weapons. The resulting absence of safety means people are unable to invest their time or resources to improve prospects for the future. Global policy trends demonstrate a clear recognition of the link between insecurity and

³³ In the World Development Report, 2011, it is estimated that “for every three years a country is affected by major violence (battle deaths or excess deaths from homicides equivalent to a major war), poverty reduction lags behind by 2.7 percentage points.”

³⁴ Preventing and reducing Armed Violence in Urban Areas Programming Note, OECD 2011

development, and the adoption of the SDGs – and in particular Goal 16 – clearly demonstrates the recognition that inclusive security is indeed a development issue.

The need to improve citizen and community security is well-recognized in UNDP's Strategic Plan (2014 – 2017), which emphasizes that if risks such as armed violence, conflict and instability are not addressed, affected countries and societies become more susceptible to conflict, crisis and development reversals.³⁵ UNDP understands citizen and community security to be more than merely a reduction of violence and delinquency rates. It rather views promoting citizen and community security as the process of establishing, strengthening and protecting democratic civic order, eliminating threats of violence in a population and allowing for safe and peaceful coexistence. UNDP's strategy is based on the understanding that sustainable citizen and community security is a result of multi-disciplinary strategies that incorporate measures to address the drivers of instability, conflict and violence, and are developed in an inclusive and participatory manner.

Therefore, UNDP's armed violence reduction and community security approach marks a shift from traditional approaches that primarily focus on strengthening of institutions and piecemeal interventions (e.g. disarmament, demobilization and reintegration, justice and security sector reform, small arms control, and conflict prevention as individual, standalone "processes") to a more multi-faceted approach, in which UNDP attempts to tackle all of the potential causes of crime and violence in the contexts in which it is engaged. This multifaceted approach helps countries to address insecurity from a broader development perspective focusing on the process and issues of inclusion within the community that ultimately target a broad range of issues, such as lack of social cohesion, impunity, the proliferation of illegal firearms, and poor service delivery. The focus of this multi-faceted approach is not only the reduction of crime and violence, but also to improve the quality of life, respect for human rights and generally create living conditions in which prevention of violence and crime is more likely to succeed.

UNDP's experiences and lessons learned from its citizen security approach have also enabled it to engage with the UN system on policies and plans on preventing violent extremism. The citizen security enables UNDP to take a community-centric, holistic approach for preventing violent extremism, taking into account causes of extremist violent behavior, and targeted support to design context-specific plans focused on prevention and trust-building between state institutions and communities, in particular in relation to security and justice services. will support measures to increase the capacity of the justice and security actors to not only to detect and prevent violent activities at the community level, but also to ensure that the proper due diligence, and respect for human rights, and legal and judicial processes.³⁶ This is in line with UNDP's global initiative on *Preventing Violent Extremism through Inclusive Development*, which offers an integrated development approach as a means of addressing the root causes of radicalization which can, in turn, drive violent extremism.

UNDP, in this programme phase, will continue to utilize this citizen and community security approach to collaborate with national and local authorities, as well as civil society and communities to identify the causes of armed violence (including small arms and light weapons circulation) and to implement solutions which increase safety. As noted in the previous section, this necessitates support to all levels of government – for instance, supporting the development of national policies; supporting security sector reform processes; strengthening local and state institutions to deliver security services; helping governments better coordinate security through multi-sectoral approaches; improving the capacity of police to prevent violence; and training judges and court

³⁵ The Strategic Plan makes specific reference to armed violence reduction and small arms control (output 3.5: Communities empowered and security sector institutions enabled for increased citizen safety and reduced levels of armed violence) and will measure its progress against outcome indicator 3.5 'Homicide rate disaggregated by sex and age (per 100,000 inhabitants)'

³⁶ More information on UNDP's work on Preventing Violent Extremism is available here: <http://www.undp.org/content/undp/en/home/librarypage/democratic-governance/conflict-prevention/discussion-paper---preventing-violent-extremism-through-inclusiv.html>

officials. But UNDP will place special emphasis at the community level to strengthen local authorities and community representatives in the promotion of participatory processes and conflict mitigation, including vulnerable groups such as youth and women, to analyze security risks, and design and implement community-based plans to address the issues. This will include continued efforts to establish effective police-community relations and to strengthen police capacities to adopt community-oriented and gender-sensitive policing.

Activities carried out under this output may include:

Developing and implement comprehensive approaches at community level to reducing violence and increasing community security:

- *Facilitate engagement between national authorities, local governments, civil society, and community representatives to improve community-level responses to armed violence.*
- *Enhance capacity of local governments to lead inclusive processes to develop and implement community-based security plans.*
- *Assist efforts to establish effective police-community relations.*
- *Support local communities, especially disadvantaged groups civil society organizations, to be active in community policing forums.*
- *Strengthen police capacities to adopt community-oriented and gender-sensitive policing.*
- *Facilitate opportunities for alternative livelihoods for vulnerable youth with conflict carrying capacities in cooperation with other partners.*
- *Facilitate measures to strengthen community security for IDPs, refugees and host communities.*
- *Increase the capacity for data collection and analysis as well as evidence-based policy making in order to develop initiatives that target the effects of community insecurity and armed violence including through a focus on victims.*

Addressing availability of arms in conflict-affected and post-conflict settings and/or those with high levels of interpersonal violence, in accordance with the ISACS:

- *Provide operational support at the community level to the full lifecycle of weapons management including marking, record keeping, collection, destruction and stockpile management.*
- *Support efforts to curb illicit arms flows including by facilitating cooperation between communities, local law enforcement and border control officials, and strengthening mechanisms for tracing illicit arms flows at local, national, regional, and global levels.*
- *Support advocacy and awareness-raising efforts regarding risk reduction of injury and/or death due to SALW.*

Output 4: National human rights systems and institutions are strengthened and made more effective in promoting and protecting human rights

Human rights constitute an important and objective tool to understand and address the inherent power issues underlying many contemporary development problems. This includes special development situations where evidence shows that lack of respect for human rights drives instability. The 2011 World Development Report outlines the centrality of state capacity in development but highlights that institutions, programs and services must be responsive to their citizens if they are to acquire and retain legitimacy. Conversely, human rights abuses undermine trust between states and citizens and increase the risks of violence. In contexts of disasters unequal and/or discriminatory provision of support and services may be a particularly strong trigger for conflict, and further inequalities. The 2011 World Development Report, therefore, notes a strong correlation between fragility and structural and systematic human rights abuses. Furthermore, recent evidence shows that main

drivers of terrorism are high levels of group grievances, and the presence of state sponsored violence including gross human rights abuses.³⁷ Therefore, the prevalence of human rights abuses and inequality an environment that accommodates gross violations.

Evidence exists of a correlation with the establishment of oversight commissions such as national human rights institutions (NHRIs) and the real reduction of a country's human rights violations, in particular in some of the most grievous incidences of torture, arbitrary imprisonment and murder. Hence, integrating human rights principles and targeted interventions in rule of law programming is key to sustaining transformative processes of change and support transitions, stability and progress towards the rule of law, access to justice and resilience. The UNDP Strategic Plan (2014-2017) recognizes that strengthening the capacities of human rights institutions to become catalysts for changing a culture where respect for human rights did not previously exist is a critical component of strengthening democratic governance based on the principle of inclusive, non-discriminatory participation.

In Phase 3, UNDP will build on its previous efforts to strengthen the work of NHRIs and accountability mechanisms; support engagement with international human rights machinery such as the Human Rights Councils' Universal Periodic Review (UPR) process; as well as support the development of National Human Rights Action Plans.³⁸ In line with the emphasis given by the UPR Policy Committee Decision 2014, Phase 3 will seek to support UN entities to integrate relevant recommendations from this machinery into country analysis and planning documents including into the mandates of peacekeeping and special political missions. UNDP, alongside with other relevant UN entities, will also lead the implementation of the Secretary-General's HRuF initiative to transform the way the UN approaches situations of serious human rights violations.

A cornerstone of Phase 3 will be promoting the application of a human rights-based approach, as mandated by the Strategic Plan, to development and crisis related programming including national development planning and recovery processes. Utilizing a human-rights-based approach to enable an understanding of the situation of these groups and individuals and helps to analyze complex power dynamics and structural inequalities. This approach will help strengthen capacity and accountability of duty bearers and rights holders, and will allow for more strategic and sustainable development programming. To further ensure the mainstreaming of the human rights-based approach in its programming, UNDP will continue to implement the Social and Environmental Standards to help strengthen programme outcomes and minimize, mitigate and manage adverse impacts and risks where avoidance is not possible.

Activities carried out under this output may include:

Strengthening capacity of NHRIs, prevention and anti-discrimination bodies:

- *Supporting capacity assessments of NHRIs with a particular emphasis on implementation of follow-up recommendations.*
- *Supporting NHRIs to engage with governments, especially the judiciary, on human rights policy, and the human rights-based approach.*

³⁷ Institute for Economics and Peace, *Global Terrorism Index* (2014). Available at: http://www.visionofhumanity.org/sites/default/files/Global%20Terrorism%20Index%20Report%202014_0.pdf

³⁸ NHRAPs promoted by OHCHR in several countries are aimed to address holistically the recommendations of United Nations human rights treaty bodies, including Universal Periodic Review (UPR). The number of the recommendations to be implemented by State Parties and reports to be submitted has grown exponentially in the recent years. Some of these recommendations might be overlapping, cross-cutting or even repetitive and NHRAPs would ensure consistency and efficient implementation of all recommendations.

- Supporting coalitions and partnerships between NHRIs and civil society and human rights defenders, particularly in crisis-affected and conflict-prone contexts.³⁹
- Supporting the role of NHRIs in SDG reporting and data collection.
- Supporting NHRIs in the UPR process, including follow-up on the implementation of recommendations.
- Supporting NHRIs in monitoring and fact-finding, including mentoring on NHRAP implementation.

Strengthening global and regional networks of NHRIs, particularly through the tripartite partnership between UNDP, OHCHR and the Global Alliance for NHRIs (GANHRI):

- Strengthening the capacity of GANHRI as the global network for NHRIs, including in the role of knowledge broker.
- Supporting the roll out of the Global Principles for Capacity Assessment of NHRIs, particularly in regions without existing methodologies.
- Supporting GANHRI, regional networks and individual NHRIs to engage on thematic human rights issues including indigenous people's rights, women's human rights, land and conflict issues, business and human rights, and extractive industries.
- Leveraging partnerships and existing networks to identify partners capable of conducting a comparative assessment on the impact of NHRIs on country-level human rights situations.

Output 5: Access to justice for all is increased – particularly for vulnerable and marginalized groups, including minorities – and discrimination, exclusion and other drivers of fragility are reduced.

Despite the widespread development gains of the last two decades under the framework of the Millennium Development Goals, inequality, discrimination and exclusion remain severe obstacles to human development, especially for the poorest and most marginalized groups. Often, these groups are disempowered and deprived of their rights, voice and agency, which consequently increases their vulnerability. Moreover, the extremely impoverished, and other marginalized groups including in certain contexts women, indigenous peoples, people living with disabilities, and others may not be aware of their legal rights, and often lack legal protection and access to mechanisms by which their grievances can be remedied. Where poor and marginalized groups are not able to claim their rights and obtain recourse for violations of their rights, establishing effective, efficient and fair justice systems is needed, for example, to ensure that women are able to seek justice when denied inheritance, that indigenous peoples are able to secure the access and control over their land and natural resources, or for refugees, displaces persons, or migrant workers in cities to be able to work and live without fear of persecution by the law or other members of their host communities. Where these safeguards are absent, systematic marginalization and discrimination, and consistent exclusion from the political, economic, social, security, justice, and cultural realms have led to social tensions and fueled crises and violent conflict across a wide range of societies. The vital need for inclusion and equality across all these arenas is well-reflected in the Sustainable Development Goals, including in Goal 16 and Goal 10 which commits to reducing inequality within and among countries.⁴⁰

On the whole, UNDP's mandate is firmly rooted in reducing inequality, exclusion and discrimination, and elevating the position of the most marginalized in effort to improve their livelihoods. These goals form the basis of the UNDP Strategic Plan (2014-2017). In the rule of law and human rights areas, this translates to ensuring

³⁹ Kyiv Declaration on the Role of National Human Rights Institutions in Conflict and Post-Conflict Situations adopted in October 2015 calls for a stronger role of NHRIs in conflict and post-conflict settings.

⁴⁰ See <http://www.un.org/sustainabledevelopment/inequality/>

that all members of a society are made aware of their rights and how to enforce them with duty bearers, including accessing effective justice services when their rights are violated.

The UNDP approach to addressing the demand-side of security, justice and human rights seeks to nurture public trust and confidence by supporting popular demand for accessible, effective services. Key components of this approach are increasing access to justice, improving redress, and reducing discrimination, exclusion and inequality by promoting key cultural, economic, social, civil and political rights for vulnerable and marginalized groups. Additionally, helping people to understand and enforce their rights, as well as access remedies is an important focus of UNDP's work on access to justice. Through this area of work, UNDP will also seek to particularly for women, marginalized and vulnerable groups, refugees and other displaced groups, and communities in remote or conflict-affected areas.

To these ends, priority will be given to supporting initiatives to ensure legal protection for refugees and internally displaced persons; to strengthen legal aid provision, alternative mechanisms for dispute resolution, and supporting the expansion of legal services to remote areas; to support the work of NHRIs and other institutions to fight discrimination with special regard to women, people living with HIV, people living with disabilities, indigenous peoples, and ethnic and other minorities; and to address ongoing and emerging issues such as lengthy pretrial detention, grievances over housing, land and property, risks related to the extractive industries, natural resources and accountability for poor service delivery.

Activities carried out under this output may include:

Reducing discrimination, exclusion and inequality by promoting key cultural, economic, social, civil and political rights for vulnerable and marginalized groups:

- *Enhancing rule of law solutions for housing, land and property matters, including for women, indigenous peoples, internally displaced peoples, refugees and stateless people.*
- *Promoting legal identity and citizenship for all member of society.*
- *Strengthening partnerships with specialized agencies and in-country initiatives on rule of law interventions to assist marginalized and vulnerable groups.*
- *Supporting access to justice assessments on people's understanding/experience of justice to determine priorities for reform*

Increasing ability of people to exercise rights through legal awareness and legal aid initiatives (for civil, criminal and administrative matters), especially for vulnerable and marginalized groups:

- *Establishing and strengthening national legal aid systems and referral mechanisms.*
- *Supporting advocacy and awareness-raising efforts on human rights, legal rights and accessing justice, in particular targeting the marginalized and vulnerable who cannot easily access the formal legal system, including women, minorities, illiterate people, indigenous people, IDPs and refugees.*
- *Supporting initiatives that improve access for people at the community level such as mobile legal aid services, community based paralegals, university legal clinics, etc.*

Ensuring protection of the rights of people held in detention:

- *Supporting initiatives to reduce pretrial detention, ensure humane conditions in prisons, and reduce incarceration – e.g. through access to legal aid services, support civil society and oversight mechanisms and capacity development of prison officials.*

Output 6: Transitional justice processes and mechanisms are promoted in conflict-affected contexts.

Societies with histories of violent conflict are particularly fragile and vulnerable to instability. Often, violence secedes but the root causes of the conflict are left unaddressed, citizen grievances are not heard, and impunity riddles communities trying to rebuild, which deepens marginalization and discontent. These triggers may easily reignite the embers of latent conflict, undermining opportunities for peace to take hold. Transitional justice processes can help illuminate truth, elevate the voice of victims, and promote redress, all of which can serve to deal with the underlying causes of conflict, heal societal wounds, and transform a tenuous lull in violence to a sustained peace. Securing these conditions to sustain peace is essential for promoting development in societies marred by legacies of violence.

UNDP has a long legacy of supporting transitional justice processes in the most serious cases of conflict and gross violations of human rights. This work is embedded within the UNDP Strategic Plan (2014-2017),⁴¹ which emphasizes enabling the capacity of rule of law institutions to provide redress and ensure that victims' grievances are addressed within transitional justice processes. UNDP's approach to transitional justice aligns with the HIPPO recommendation to secure political settlements as a starting point for peacebuilding activities, and focuses on creating nationally-owned processes and mechanisms, securing guarantees of non-recurrence, assuring the involvement of and attention to vulnerable groups, and partnering with other UN and international agencies to advance this important agenda. A core component of UNDP's work is to ensure that supported transitional justice processes are not deployed in discriminatory ways but rather treat specific forms of behavior objectively and equitably without regard to affiliation. Enabling nationally-owned mechanisms that are responsive to all victim and society groups requires a sophisticated understanding of context so as to ensure supported processes are inclusive, equitable, and break down societal divisions rather than deepen them. UNDP focuses on implementing context-specific and participatory transitional justice processes in support of broader peacebuilding objectives, particularly those that foster peace and equity through inclusive, participatory and democratic governance. In this sense, UNDP's work in the transitional justice arena links closely with its other initiatives to promote conflict prevention, peacebuilding, and good governance.

To support redress for past violence and human rights violations and to enable societies to recover from the legacy of violence, UNDP in Phase 3 will continue its provision of assistance to governments and communities through supporting transitional justice mechanisms such as: national and local dialogue processes; truth commissions, and the prosecution of conflict-related crimes, including Rome Statute Crimes.⁴² Enabling reparations for victims of grave human rights abuses, especially for those often identified as vulnerable (e.g. women, minority groups, or impoverished communities) is and will continue to be a major facet of UNDP's transitional justice support that will continue in Phase 3. UNDP will also continue working to ensure that victims of conflict have a voice within transitional justice and political processes.

Activities carried out under this output may include:

Advancing policy promoting a development approach to transitional justice processes:

- *Formulating guidance on lessons learned on transitional justice processes based on previous policy and practice.*
- *Supporting UN system-wide policy that uses a development approach to promote both long-term prevention and recovery from gross human rights abuses.*

⁴¹ UNDP Strategic Plan Results Framework Output 3.4.2

⁴² This is known as 'complementarity,' which ensures impartiality and adds international backing to State prosecutions through the use of the Rome Statute and the International Criminal Court.

Strengthening capacity of national prosecutions of Rome Statute and other core international crimes:

- *Assisting governments in establishing legal and institutional frameworks for national prosecutions, including for special jurisdictions.*
- *Building support for national prosecutions based on existing in-country rule of law programmes and partnerships ensuring a comprehensive approach.*
- *Assisting in institutional and professional development of all key components of national prosecutions (Office of the Prosecutor, courts, defense, security, law enforcement, witness protection, outreach and communication, etc.)*

Assisting other national and local mechanisms for providing redress to victims of human rights abuses:

- *Assisting governments in strategically planning and legislating comprehensive measures for redress of victims at the national level.*
- *Strengthening operational and communication capacity, and facilitate networking of victims' associations.*
- *Using a development approach and resources for establishing reparations programmes to maximize scope and reparative choice for victims.*
- *Facilitating victims' participation in multi-stakeholder consultations on transitional justice mechanisms, including at the peace negotiation stage.*
- *Supporting inclusive institutional and informal truth-seeking and truth-telling platforms.*
- *Assisting governments to design and implement national guarantees of non-repetition/recurrence policy in accordance with UN guidelines.*

Output 7: Human rights, access to justice, and security for women and girls are increased

Violence and conflict weaken systems of protection, security and justice, and often exacerbate gender inequality and discrimination. In these contexts, women and girls often experience a lack of access to justice and security, and greater violations of their human rights. This is particularly the case in situations where cultural, social and political norms perpetuate the systemic devaluing of women and girls, whether through denying them access to education, economic opportunity, legal documentation, or meaningful roles in political processes. Furthermore, contexts which are affected by violence and conflict often see escalation in rates of sexual and gender-based violence (SGBV) – by which women and girls are often disproportionately affected. These crimes have devastating, long-term effects on the lives of victims, their families and the social fabric of communities (which, if left unresolved can transfer stigma to subsequent generations).

In complex contexts such as conflict- and crisis-affected countries, the capacities to holistically respond to SGBV – including to foster a culture of awareness of the ills of SGBV, to create and employ preventative mechanisms, to fight impunity for these crimes, and to provide survivors with much-needed psychosocial and socioeconomic support – often do not exist. Consequently, the vast majority of women with legitimate claims do not pursue justice, and only a tiny proportion of those who do are able to achieve a remedy. In some cases, SGBV survivors who do attempt to access justice are often 'revictimized' by the very institutions charged with protecting their rights.

The UNDP Strategic Plan (2014-2017) includes an unequivocal commitment to prevent and respond to sexual and gender-based violence.⁴³ This lends support to both SDG 5 on achieving gender equality and SDG 16 on promoting peaceful and inclusive societies – each goal with respective targets on reducing violence against women, and all forms of violence. But while it remains a scourge that must be addressed, UNDP also recognizes

⁴³ UNDP Strategic Plan Results Framework Outputs 3.5 and 4.2

that tackling SGBV is only part of the picture of strengthening human rights, justice and security for women. In addition to these efforts, more must be done to increase women's access to justice and security and their voice in the provision of these services, including through access to education and vocational opportunities, efforts to raise awareness regarding women's rights and how to access them, and measures to address cultural norms and systems that perpetuate discrimination against women and girls (particularly in favor of promoting false notions of masculinities).

Through the assistance provided in Phase 3 of this Global Programme, UNDP will continue to support national efforts to tackle sexual and gender-based violence and support women's rights by increasing women's political participation and leadership in justice and security sectors. Assistance will be provided to the development of policy and legal frameworks that are inclusive and protective of women and their rights. Importantly, in order to tackle impunity UNDP will continue to seek to improve access to justice, legal aid and service delivery for marginalized women and girls, particularly survivors of SGBV. This extends to the provision of medical, psycho-social, family, legal and economic assistance. Community-level prevention efforts will seek to raise awareness and mobilize men to advocate against and tackle marginalization of and discrimination against women, and the prevalence of SGBV.

Activities carried out under this output may include:

Increasing women's professional representation in the justice, security and human rights sectors:

- *Supporting efforts to increase recruitment and retention of women in these sectors, facilitating relevant professional development, including educational opportunities, literacy and trainings.*
- *Supporting national authorities to identify, select and support qualified women candidates for professional opportunities in the justice and security sectors.*
- *Increasing the gender responsiveness and sensitization of justice and security institutions in order to transform organizational culture as a basis for more gender-sensitive policies and practices.*

Contributing to prevention of and response to SGBV, in particular through support to the criminal justice system and family law, as well as provision of support to survivors:

- *Support national policy and programme development on combatting and responding to SGBV through the justice, security and human rights sectors, and including in transitional justice processes*
- *Support criminal justice system actors for improved responses to SGBV, including gender-responsive policing, prosecution and institutional reform.*
- *Support the provision of medical, psycho-social, legal aid and economic assistance to survivors of SGBV.*
- *Support the development of a corporate UNDP approach to target SGBV, in collaboration with other relevant teams.*

Addressing and mainstreaming additional needs/issues regarding women's access to justice and security:

- *Support legal reform and implementation for increased promotion and protection of women's human rights and access to justice (namely family law, civil, economic and property rights)*

3.2 Partnerships

Since the inception of the Global Programme in 2008, UNDP has readily acknowledged that its delivery of rule of law and human rights assistance is only impactful when strong partnerships are fostered both inside and outside of the UN system. Through its explicit efforts to gather international expertise, UNDP is now well-recognized for its ability to play a convening role within both the UN system and the broader international community on rule of law and human rights issues and has, over the years, made an explicit effort to galvanize international

expertise – both technical and substantive – from both country-level partners, as well as from other development practitioners, academia, non-governmental organizations, civil society and other global thought leaders.

One of the most important areas of UNDP’s work to build and foster partnerships is within the UN System. UNDP will continue to engage all UN system actors relevant to rule of law and human rights assistance through its role as Global Focal Point co-lead, alongside DPKO. In addition to convening all rule of law assistance delivery actors through this arrangement at the headquarters level, UNDP – through the umbrella of the Global Focal Point – will also work with UN System leadership and country presences at country level to support implementation of rule of law strategies and to resolve political obstacles to fostering a rule of law and human rights culture. The Global Focal Point is an entry point into the United Nations system for field leaders and Member States, seeking knowledge, people, and advice on assessments, planning, funding and partnerships in the rule of law area. Additionally, because of its unique composition of various UN partners, UNDP and the Global Focal Point are well-placed to foster coherence and coordination amongst those working in the humanitarian, peace, and development sectors.

The Global Focal Point for Police, Justice, and Corrections Areas in the Rule of Law in Post-Conflict and other Crisis Situations

In September 2012, Secretary-General Ban Ki Moon appointed UNDP and DPKO as the Global Focal Point (GFP) for Police, Justice and Corrections Areas in the Rule of Law in Post-Conflict and Other Crisis Situations through a policy committee decision (2012/13 of 11 September 2013). This arrangement seeks to strengthen the management and coordination of the United Nations country-level operational activities in the areas of police, justice and corrections. Based on this decision the GFP was established to ensure that the UN delivers the best possible to strengthen host countries’ police, justice and corrections institutions. To this end, the GFP contributes knowledge, people and advice on assessments, planning, funding and partnerships to ensure coherent rule of law assistance. GFP partners deliver police, justice and corrections support in post-conflict and other crisis contexts in a predictable, accountable and efficient way. Since its inception, the GFP has enabled UNDP to become more agile and effective in delivering rule of law assistance through country-led strategies and programmes. UNDP has secured support from key partners and Member States for core GFP work to ensure alignment and coherence in the rule of law sector.

Since 2012, the GFP has provided a united front for rule of law assistance in crisis contexts, with the aim of streamlining assessment, planning and delivery to improve overall impact. The GFP achieves greater impact through joint approaches to assistance with involvement from UNDP, DPKO, UN Women, OHCHR, UNODC, PBSO, UNDP, DPKO, DPA, UNHCR, UNICEF, UNOPS, and the UN Team of Experts on Rule of Law/Sexual Violence in Conflict. This approach allows the UN to respond more effectively to requests for complex and politically nuanced assistance by drawing quickly and strategically on the collective expertise of GFP partners. The GFP responds to requests for support from national stakeholders, UN Country Teams, Political and Peacekeeping Missions in crisis and post-conflict settings. In Mission contexts, the support is provided throughout the mission life-cycle – from start-up to draw-down – and adds particular value in the context of transitions. It also serves as a platform for joint resource mobilization.

At country level, the GFP works together to deliver under one jointly planned and implemented rule of law plan (in line with national priorities), and provides one single point of contact for national stakeholders to liaise with the UN on rule of law issues. The GFP also senior United Nations officials in-country who are responsible and accountable for guiding and overseeing United Nations rule of law strategies, for resolving political obstacles, and for coordinating United Nations country support on the rule of law. To support the United Nations leadership in fulfilling this task, the GFP responds to channeled through United Nations entities on the ground, with timely and quality police, justice and corrections assistance. The GFP is therefore an entry point into the United Nations system for field leaders and Member States, seeking knowledge, people, and advice on assessments, planning, funding and partnerships in the three areas.

More specifically, the GFP aims to assist at the country-level by:

-Providing timely and quality technical assistance in response to requests from the country level.

- Facilitating the rapid deployment of police, justice and corrections expertise.
- Undertaking joint assessments, planning and the design of police, justice and corrections assistance.
- Assisting United Nations peace operations and UN Country Teams in developing and implementing common rule of law, justice and security strategies and programmes.
- Convening relevant UN entities to provide coordinated country-specific support.
- Supporting fundraising efforts for comprehensive police, justice and corrections programmes at country level.
- Developing joint guidance, training and policy tools where gaps exist.
- Evaluating the assistance provided and the UN impact on rule of law at country level.
- Strengthening the United Nations outreach and partnerships with and between Member States, NGOs and think-tanks, with a particular focus on strengthening South-South cooperation

In Somalia, the GFP has served as a platform for a combined rule of law sector planning approach, implemented through joint portfolio containing over \$10 million carried out by joint UNSOM and UNDP units for police and justice/corrections. In CAR, joint teams are being established within the MINUSCA structure to support the implementation of a single rule of law framework under the GFP umbrella. US\$ 20 million has been mobilized for joint police, justice and corrections projects under this joint framework. In Mali, joined up efforts through the GFP have led to aligning all UN activities to national rule of law initiatives, including through joint fundraising towards an \$18 million framework and co-located UNODC expertise within the MINUSMA rule of law team. In Liberia, the GFP coordinated efforts to support initial needs in relation to rule of law aspects of the response to Ebola and, as a result, is contributing to a joint project covering police, justice and corrections.

In addition to furthering its role as Global Focal Point, a major cornerstone of Global Programme Phase 3 partnerships will be building and strengthening alliances to harness resources and innovation to contribute to the realization of SDG 16.⁴⁴ Coherence and alignment of international policy, as well as meaningful and relevant measurement of the rule of law and human rights elements of SDG 16 and the 2030 Agenda (based on reliable data) will be essential to planning, designing implementation measures, building capacity, tracking progress, and inform strategic policy making related to the achievement of the SDGs. Against this backdrop, fostering collaboration between all relevant entities will help ensure effective action is taken and sufficient resources are mobilized to realize the ambitious aspirations laid out in SDG 16 and, in turn, the entirety of Agenda 2030.

In other realms of policy and practice, Phase 3 of the Global Programme will continue support to UNDP's longstanding efforts to build and strengthen partnerships with Member States (including both beneficiary States and donor States), civil society actors, and think tanks and other members of academia in order to advance a human rights-based rule of law agenda both in policy and practice:

- **Member States:** In support of its programming aims, UNDP will continue to prioritize partnering with both Member States and other UN bodies and agencies to enhance the provision of support throughout the whole of this phase of the Global Programme. This includes working with national stakeholders receiving rule of law and human rights assistance, where the Global Focal Point provides one single point of contact for national stakeholders to liaise with the UN on rule of law issues, and works together to deliver under one jointly planned and implemented rule of law plan (in line with national priorities) at both headquarters and country levels. Engagement with Member States also includes donors who contribute both financially and in-kind to the Global Programme and with Global Focal Point entities to ensure that assistance is aligned with national priorities, and coherent and coordinated with other international rule of law actors. This includes tapping into the standing expert capacities of Member States that are readily available to support UNDP and Global Focal Point joint planning and programme

⁴⁴ Complementary initiatives include, among others: the Business Call to Action (BCtA), the Open Government Partnership, the Effective Institutions Platform and the G7+ International Dialogue on Peacebuilding and State building, the TAP Network, International Transparency Initiative (IATI), the Global Partnership for Sustainable Data, the Virtual Network for the Development of Indicators for Goal 16, and the Praia Group on Governance Statistics.

implementation. UNDP – through the Global Focal Point – will also redouble its efforts to work with other multilateral organizations such as the World Bank and the European Union to harmonize in-country programming and provide national authorities with streamlined interlocutors to liaise with on matters related to rule of law and human rights.

- **Civil society:** Civil society actors will be closely engaged in programme countries in effort to leverage the knowledge and expertise of the local context, culture, and political economy. In particular, UNDP will seek to foster partnerships with dynamic civil society organizations and leaders that have demonstrated commitment to international human rights principles and are accountable to their constituents. Through these partnerships, UNDP seeks to invest in and facilitate citizen action to support strengthening the rule of law and human rights for the benefit of the whole of a given society.
- **Think tanks and academia:** Additionally, policy and research-oriented partnerships and networks will be further strengthened with a range of think tanks and academia relevant to the peacebuilding and development field whose efforts may support UNDP's rule of law and human rights efforts going forward. These partnerships will be concretized through formal agreements and other operational mechanisms with Member States, regional organizations, consultancy firms, civil society organizations, and think tanks to mobilize expertise in support of both policy development and programming.

3.3 Risks and Assumptions

As with other substantial global initiatives, particularly those aimed to deliver in challenging circumstances, this Global Programme is accompanied by risks that could compromise its potential for maximum impact. These may include:

- Changing political environments and national priorities, undermining or compromising capacity development.
- Changing priorities within the international community, weakening efforts to incorporate the rule of law in peacebuilding and recovery processes, or other initiatives to tackle fragility.
- Weak inter-agency engagement from partners at headquarters and country level.
- Inadequate response to resource mobilisation efforts, hampering capacity to react to the increasing demand from the Country Offices and host governments.
- Low quality of implementation and/or slow delivery leading to lack of visible results or impact.
- Unpredictable management, lack of buy in, and/or financial constraints within Country Offices that prevent UNDP rule of law and human rights assistance from achieving maximum effect.
- Challenges in identifying highly qualified and experienced rule of law experts with whom to partner for rapid deployment.
- Lack of operational or technical capacities in Country Offices.
- Slow delivery due to differing functional modalities in various agencies/UN bodies.
- Limited ability to work in some priority countries due to security concerns for staff.

To avoid compromised delivery, UNDP and other Global Focal Point partners are actively engaged in measures to pre-empt these risks and their potential effects. For instance, UNDP and its Global Focal Point counterparts are working to:

- Increase advocacy efforts to sensitize partners to continue to support rule of law and human rights in crisis-affected and fragile settings.
- Maintain the highest quality of UN rule of law expert staff at headquarters level, including through opportunities to acquire staff through loan arrangements and other in-kind contributions.

- Ensure sustained resource mobilisation efforts.
- Engage with Missions, UN Country Teams, UNDP Country Teams and other UN presences in a proactive and service-oriented manner, to ensure awareness of the Global Focal Point's strengthened services and support (the demand is currently very high and continues to grow).
- Strengthen the roster of rule of law experts for rapid deployment through associated expert networks and stand-by capacity.
- Increase partnerships with specialized NGOs, research institutes and academic institutions to mobilise technical expertise, undertake reviews of the work plan and prioritise commitments.

These and other efforts to proactively address and mitigate risks are detailed in the risk log, found in Annex III.

It is assumed that:

- The demand for rule of law and human rights engagement – both political and technical – will increase as a central pillar of peacebuilding and long-term development initiatives supported by the international community.
- Requests for assistance by national authorities will continue to increase, given the strengthened capacity of the UN System to deliver rule of law and human rights assistance through the Global Focal Point.
- A shared understanding among partner governments, international actors and donors regarding the importance of rule of law in sustaining peace and promoting overall process of human development will continue to develop as the UN System and its partners deepen their engagement through a rights-based, people-centred approach.

3.4 Stakeholder Engagement

A critical pillar of this Global Programme has always been its engagement with relevant national and local stakeholders ensure that supported initiatives are aligned to national and local priorities for rule of law reform, based on international human rights standards and processes such as the New Deal. Every effort is made to develop country-level initiatives that build on existing national capacities, which not only minimizes the requirements to get efforts moving on the ground, but also facilitates the national ownership and leadership necessary for making the rule of law central to peacebuilding, recovery and development efforts.

3.5 South-South and Triangular Cooperation

UNDP and the Global Focal Point encourage South-South engagement on specific rule of law and human rights initiatives in order to foster regular exchange of information regarding best practices, lessons learned, and innovative approaches to strengthening the rule of law and human rights in contexts with similar circumstances. In these situations, sharing experiences can be helpful in illuminating programmatic, operational, technical or political precedent for how to overcome obstacles and implement initiatives effectively. During Phase 3 of the Global Programme, this information exchange may occur through platforms such as the UNDP *Annual Meeting on Strengthening the Rule of Law in Crisis-Affected and Fragile Situations*, Communities of Practice (or other guidance/knowledge generating workshops), detailed assignments for staff or long-term engagements for experienced consultants, etc. Regional mechanisms such as the ECIS Regional SSR Platform will also be supported to increase peer-to-peer knowledge sharing and collaboration. The Global Programme will also leverage the extended reach of the rule of law and human rights focal points at the five UNDP Regional Hubs to encourage South-South and Triangular cooperation.

3.6 Knowledge

UNDP leads policy development and international advocacy efforts on rule of law and access to justice through its knowledge generation in key thematic areas such as strategic justice reform, legal aid, women's access to justice, transitional justice, legal pluralism and informal justice systems. UNDP also helps build capacity and fosters knowledge sharing through peer-to-peer exchanges, communities of practice and networking. The nexus of UNDP's policy leadership along with its provision of direct technical advice to programming, both at the regional and global levels, has helped better tailor and prioritize interventions on rule of law and human rights, and has contributed to the growing base of knowledge related to these issues that is grounded in practical experience.

These efforts will continue into Phase 3 of the Global Programme, with targeted efforts being put toward the development of evidence-based rule of law and human rights policy that reflects UN system efforts to align peacebuilding and development trajectories; to develop and employ catalytic and innovative methods to address increasingly complex problems; and to place people and their needs at the center of every initiative. Examples of efforts to generate knowledge and advance policy include ongoing support to UN System-wide policy development on prevention and recovery from human rights abuses; UN system guidance on overcoming political obstacles to rule of law reform⁴⁵; developing an evidence-based theory of change for rule of law assistance in crisis contexts;⁴⁶ supporting system-wide implementation of the HIPPO and AGE recommendations; and advancing efforts to bring together the pillars of the UN Charter as it relates to rule of law and human rights assistance delivery. These processes will be formalized in various knowledge projects and other guidance-oriented publications over the lifecycle of Phase 3 of the Global Programme, in conjunction with other Global Focal Point knowledge generation initiatives.

3.7 Sustainability and Scaling Up

Ensuring the sustainability of initiatives supported through the Global Programme is a priority for both UNDP and the broader UN System *vis à vis* the Global Focal Point. Through all of its assistance, UNDP and the Global Focal Point work to ensure that the most urgent needs are rapidly responded to, while at the same time laying the building blocks for fostering recovery, sustaining peace, and improving human development. In Mission contexts where the whole of the Global Focal Point is responsible to delivery rule of law support, the Global Programme provides a ready-made tool to ensure a smooth transfer of responsibility for operations and implementation from Mission to Country Team, as well as strengthening the capacity of national and local stakeholders to eventually assume all aspects of justice and security reform and oversight of the human rights situation on the ground. In non-Mission contexts, UNDP ensures sustainability by strengthening national capacities for owning rule of law and human rights processes by building these components into each specific country-level project and programme.⁴⁷

IV. PROGRAMME MANAGEMENT

4.1 Cost efficiency and effectiveness

Building on work undertaken in Phase 2, UNDP in Phase 3 will ensure greater cost efficiency and programme effectiveness by launching a comprehensive approach to programme quality assurance. This includes through the implementation of systematic analysis and planning, as well as through a uniform approach to monitoring

⁴⁵ In collaboration with Folke Bernadotte Academy

⁴⁶ In collaboration with the Conflict Research Unit at the Clingendael Institute

⁴⁷ Specific plans for enabling and transferring ownership to national stakeholders and beneficiaries are available upon request.

and evaluation. These efforts will also benefit the assessment, planning and implementation undertaken by the Global Focal Point.

Firstly, UNDP will employ methodologies such as institutional and context/stakeholder analysis,⁴⁸ scenario planning, systems mapping and assessments, and horizon scanning to better inform the planning phase. In the realm of monitoring and evaluation, UNDP will continue to define strategic, evidence-based programme outcomes and outputs with appropriate baselines, targets and indicators that are tailored to each individual context in which the Global Programme operates. Data collection methods will be strengthened to better inform policies and programmes on rule of law, and developing country-level monitoring and evaluation capacities for rule of law and human rights programming will be prioritized. Redoubled efforts will also be made to track results and impact on the ground and measure change in a systematic manner, including through mid-term and end-of-programme evaluations.

To these ends, a standardized approach to monitoring and evaluation using UN and UNDP corporate tools will be developed and implemented in order to better assess needs and impact. At the outset of each new project (and on an ad hoc basis as relevant), political economy analysis exercises will assess how actors' incentives and/or constraints will shape the likelihood of programme success. Approaches to developing baselines prior to project implementation will be standardized, and mechanisms to guarantee mid-term and end-of-phase assessments to inform way forward will be developed. Additionally, emphasis will be placed on developing and implementing results frameworks based on data-driven analysis rather than just anecdotal evidence or qualitative assessment. To encourage these efforts at a system level, UNDP will also provide high quality assistance to UN system processes for conducting baseline/joint assessments, programmes, monitoring and evaluation, etc.

An important component of ensuring the delivery of cost efficient and effective support through the Global Programme is maintaining the flexibility to shift programmatic efforts when evidence indicates that the assistance delivered is not achieving the maximum desired output. This may include recalling or reallocating funding, redirecting project or programme aims and efforts, or scaling back initiatives implemented in very complex situations according to ongoing assessments of what achievements are realistic in the given context. In these instances, efforts that prioritize early measure to rebuild confidence between society and the State, as well as increase access to justice, security and respect for human rights – especially for the vulnerable and marginalized – will be prioritized, even if project redirection is necessitated.⁴⁹

UNDP will also work to mainstream the human rights-based approach and the Social and Environmental Standards in all programmatic activities (including mainstreaming at the corporate level). Support will be provided to the operationalization of the human rights-based approach in country programming across all areas of UNDP activity. Guidance on the human rights-based approach in support of the implementation of the Social and Environmental Standards will be rolled out across UNDP corporately, and senior management – particularly at the country level – will be engaged to raise awareness on human rights mainstreaming.

To ensure maximum attention is given to promoting programme quality and effectiveness over the lifecycle of the Global Programme, related efforts will be tracked under Output 8 in the Results Framework.

4.2 Project management

⁴⁸ See *What, Why and How to Measure: A User's Guide to Measuring Rule of Law, Justice and Security Programmes* (2014); *Foresight – The Manual* (2014); and also "Guidance Note on Assessing the Rule of Law Using Institutional and Context Analysis" (2014). Available at www.undp.org

⁴⁹ For more information on improving design and evaluation, see "Improving Development Aid Design and Evaluation," by Rachel Kleinfeld, Carnegie Endowment for International Peace, Washington DC (2015).

In an effort to consolidate and strengthen UNDP's global response as well as country level support on rule of law, justice, security and human rights, all of UNDP's global capacities in rule of law and human rights have been brought together into one Rule of Law, Justice, Security and Human Rights technical team (RoLJSHR). This allows UNDP to continue to build its global profile and deepens its rule of law and human rights assistance in all environments and takes forward its role as part of the GFP. This enhanced team maintains a strong presence in New York headquarters and in the UNDP Regional Hubs in Addis Ababa, Amman, Bangkok, Istanbul, and Panama.

RoLJSHR, located within the Governance and Peacebuilding Cluster of the Bureau for Policy and Programme Support (BPPS), manages this Global Programme. It works in close contact with the Regional Bureaus and the Regional Hubs as well as the UNDP Country Offices to develop and deliver precise, context-specific support to rule of law, justice, security and human rights in a wide range of crisis-affected and post-conflict contexts. It also works through the GFP arrangement to partner with DPKO and other UN agencies to contribute to joint planning and assessment on behalf of the UN system, and to provide joint financial, technical and operational support on the ground.

Implementation of rule of law programmes at country levels will be executed by UNDP Country Offices and their implementing partners (primarily DPKO and others through the GFP arrangement), according to UNDP rules and regulations. UNDP Regional Bureaus and Regional Hubs will oversee implementation of regional programming in close collaboration with UNDP Country Offices, RoLJSHR in New York, and other implementing partners as appropriate.

Programme focus countries, territories, and regions

Phase 3, in keeping with past practice, will focus on strengthening country-level technical support and seed-funding to a designated set of 30 priority countries and territories, primarily in areas where both peacebuilding and development approaches are required. These priority countries and territories have been selected based on previous government request for UNDP engagement on rule of law and/or human rights strengthening, as well as the countries on the agenda of the Security Council, as well as demonstrated needs for:

- Sector-wide planning and engagement;
- Targeted financial support and strong technical investment from UNDP and UN partners;
- Donor coordination to guarantee maximum aid effectiveness;
- Sustained commitment and engagement with national and community-level stakeholders to ensure lasting, transformational change.

Phase 3 priority countries and territories include: **Afghanistan, Bosnia and Herzegovina, Burundi, Central African Republic, Colombia, Democratic Republic of the Congo, Guatemala, Guinea-Bissau, Guinea (Conakry), Haiti, Iraq, Kosovo (UN Administered Territory),⁵⁰ Kyrgyzstan, Liberia, Libya, Mali, Myanmar, Nepal, Pakistan, Sierra Leone, Somalia, South Sudan, Sri Lanka, State of Palestine, Sudan, Syria,⁵¹ Timor-Leste, Tunisia, Ukraine, and Yemen.**

⁵⁰ UN Administered Territory. All designations made in this document are without prejudice to positions on status and are in accordance with UN Security Council Resolution 1244 (1999).

⁵¹ Indicates support provided to all contexts affected by crisis in Syria, including Lebanon and Jordan

In addition to this list, UNDP maintains the capability to designate funding through the Global Programme to non-priority upon request and as deemed necessary – for instance, special development situations requiring rapid and targeted support, or smaller monetary investments. The Global Programme will also support regional-level programming that responds to country priorities on rule of law.

Thematic/substantive initiatives

The Global Programme will also address significant fragility elements in other countries and regions, as a way to prevent violence from evolving into open conflict such as: high levels of armed violence, high inequality, discrimination and exclusion, conflict situations related to natural resource management, extremism and radicalization, endemic corruption, and serious violations of human rights. These endeavors may, upon request, be carried out in middle income countries, where these elements pose a substantial threat to peace and development progress that has already been achieved. Careful evaluations and close engagement with the UN country presences – including with the Resident Coordinator system – will enable UNDP to make targeted investments in the justice and security area to reduce risks of escalation and fragility.

V. RESULTS FRAMEWORK

UNDP Strategic Plan (2014-2017) Framework								
Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance				Output 2.3: Capacities of human rights institutions strengthened				
Outcome 3: Countries have strengthened institutions to progressively deliver universal access to basic services				Output 3.4: Functions, financing and capacity of rule of law institutions enabled, including to improve access to justice and redress				
				Output 3.5: Communities empowered and security sector institutions enabled for increased citizen safety and reduced levels of armed violence				
Outcome 4: Faster progress is achieved in reducing gender inequality and promoting women's empowerment				Output 4.2: Measures in place and implemented across sectors to prevent and respond to sexual and gender-based violence				
Expected Programme Outcome: Programme countries and territories demonstrate strengthened rule of law and respect for human rights								
Outcome Indicators ⁵²								
1. IIAG safety and rule of law score								
2. IIAG participation and human rights score								
3. WJP Rule of Law score								
4. GPI score								
5. Transparency International Index score								
6. ISACS score								
Expected Programme Outputs	Output Indicators ⁵³	Data Source	Baseline ⁵⁴		Targets ⁵⁵			
			Value	Year	2017	2018	2019	2020
Output 1: A political environment that strengthens rule of law	1.1 Number of countries with improved capacities for oversight and/or governance mechanisms in the security sector	Corporate data ⁵⁶	7	2015	TBD	TBD	TBD	TBD

⁵² Compiled baseline information for programme priority countries can be found in Annex 5.

⁵³ Figures in this results framework are only reported for Global Programme priority countries.

⁵⁴ A detailed breakdown of which countries were reported on per output theme in 2015 can be found in Annex 6.

⁵⁵ While 2017 corporate targets are available, more time is needed to distill them down in accordance with Global Programme priority countries. These are expected to be fixed by 15 October 2016. At the advice of the UNDP Development Impact Group, 2018-2020 targets for corporate indicators will be determined at a later date in accordance with the new UNDP Strategic Plan for 2018-2021 once it is adopted.

⁵⁶ Reported under SP Indicator 3.5.1

and human rights is further enabled.	1.2 Joint programmes in place to increase the impact of UN system delivery in creating political spaces for the development of justice, security and human rights institutions	RoLJSHR reporting	5		7	8	9	10
Output 2: Capable justice and security institutions are established and strengthened to increase and improve service delivery in crisis-affected and transitional settings.	2.1 Number of countries where justice and security services reach out to an increasing and/or more inclusive number of people	RoLJSHR reporting	20	2015	22	25	27	30
	2.2 Number of countries with national-level security strategies that are developed through a participatory process, comply with human rights standards, and/or support reducing armed violence and promote control of small arms	RoLJSHR reporting	0 ⁵⁷	2016	5	6	8	10
Output 3: Comprehensive community security approaches are developed, strengthened, and/or applied.	3.1 Number of countries where gender-sensitive, evidence-based security strategies for reducing armed violence and/or controlling small arms are in operation at the community level	Corporate data ⁵⁸	6	2015	TBD	TBD	TBD	TBD
	3.2 Number of countries with community policing programmes developed and/or operational	RoLJSHR reporting	7		9	11	13	15
Output 4: National human rights systems are strengthened and made more effective in promoting and protecting human rights.	4.1 Number of countries with strengthened operational institutions supporting the fulfillment of nationally and internationally ratified human rights obligations	Corporate data ⁵⁹	10	2015	TBD	TBD	TBD	TBD
	4.2 Number of countries with NHRIs receiving an “A status” rating from the GHANRI Sub-Committee on Accreditation	RoLJSHR reporting	12	2016 ⁶⁰	13	15	18	20
Output 5: Access to justice for all is increased	5.1 Number of additional people who have access to justice	Corporate data ⁶¹	129,933	2015	TBD	TBD	TBD	TBD

⁵⁷ Baselines and targets for RoLJSHR indicators not previously reported on will be determined following the first year of Phase 3 implementation and reporting.

⁵⁸ Reported under SP Indicator 3.5.2

⁵⁹ Reported under SP Indicator 2.3.1

⁶⁰ The 12 countries included in this baseline are: Afghanistan, Bosnia and Herzegovina, Burundi, Colombia, Guatemala, Haiti, Jordan, Nepal, Sierra Leone, State of Palestine, Timor-Leste and Ukraine. The list of A-status NHRIs was accessed on 23 August 2016 to calculate this figure (available here: <http://nhri.ohchr.org/EN/Documents/Status%20Accreditation%20Chart.pdf>). The individual reviews of these NHRIs range from 2013-2016, as not all NHRIs are reviewed every year.

⁶¹ Reported under SP Indicator 3.4.1 (components 3.4.1.A.3.1 and 3.4.1.B.1.1 for 5.1a and 5.1b respectively)

– particularly for vulnerable and marginalized groups, including minorities – and discrimination, exclusion and other drivers of fragility are reduced.								
	5.1 Cases receiving judgment in the first instance of the formal justice system	Corporate data	37,575					
	5.3 Number of countries with active access to justice and/or legal aid programmes in place at the community level	RoLJSHR reporting	12		15	18	21	24
Output 6: Transitional justice processes and/or mechanisms are promoted in conflict-affected contexts.	6.1 Total number of victims whose grievances cases are addressed within transitional justice processes	Corporate data ⁶²	397,746	2015		TBD	TBD	TBD
	6.2 Number of countries with transitional justice processes and/or mechanisms in place	RoLJSHR reporting	10		11	12	13	15
Output 7: Human rights, access to justice, and security for women and girls are increased.	7.1 Number of additional women representatives in the justice and security sectors, year on year	RoLJSHR reporting	0	2016	25	50	75	100
	7.2 Number of countries that have a strengthened legal and/or policy framework in place to prevent and address sexual and gender-based violence	Corporate data ⁶³	7	2015	TBD	TBD	TBD	TBD
	7.3 Number of countries with justice and security services and other mechanisms/process in place to prevent, respond to, and address sexual and gender-based violence	RoLJSHR reporting	11		13	15	17	19
	7.4 Existence of new and strengthened legal aid and justice services to prevent and address sexual and gender-based violence	Corporate data ⁶⁴	7		TBD	TBD	TBD	TBD
Output 8: High quality programming is assured through improved quality assurances processes, mainstreamed human rights in programming,	8.1 Number of country-level projects/programmes undertaking a uniform M&E approach	RoLJSHR reporting	0	2016	5	10	15	20
	8.2 Number of country-level projects/programmes utilizing HRBA and SES	RoLJSHR reporting	0		15	20	25	30

⁶² Reported under SP Indicator 3.4.2 (component 3.4.2.A.3.1)

⁶³ Reported under SP Indicator 4.2.1

⁶⁴ Reported under SP Indicator 4.2.2

and strengthening of external partnerships.	8.3 Number of ongoing and/or new external partnership agreements and opportunities supporting the delivery of UN RoL and HR assistance	RoLJSHR reporting	0		2	3	4	5
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VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

Monitoring Activity	Purpose	Frequency	Expected Action	Partners	Cost
Track results progress	To collect and analyze data against results indicators to assess progress against outputs.	Quarterly	-Progress data against results indicators in the RRF will be collected and analyzed. -Slower than expected progress will be addressed by project management.	UNDP partners: UNDP Country Offices, Regional Bureaus, Regional Hubs, Evaluation Office, others as required UN partners: DPKO, UN Women, OHCHR, UNODC, and other GFP entities as relevant <i>External partners will be consulted on an ad hoc basis as deemed necessary by project team and project board.</i>	\$150,000
Monitor and manage risk	To identify specific risks that may threaten achievement of intended results.	Quarterly	-Risk management actions will be identified and monitored using an actively-maintained risk log (see Annex III). ⁶⁵ -Audits will be conducted in accordance with UNDP's audit policy to manage financial risk. -Actions will be taken to manage identified risks.		N/A
Learn	To regularly capture knowledge, good practices and lessons to integrate back into the project.	Ongoing	-The project team will scan, capture and share relevant lessons from work conducted within the project framework,		\$200,000

⁶⁵ This includes monitoring measures and plans required as per the UNDP Social and Environmental Standards.

			as well as from sources such as other projects, external partners, etc. -Relevant lessons will be integrated into programming on an annual basis (and ad hoc as appropriate).	
Annual project quality assurance	To assess the quality of the project against UNDP's quality standards in order 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 decisions will be taken to improve the overall quality of project performance.	N/A
Review and make course corrections	To utilize evidence gathered during project lifetime to inform and steer project in the direction that will yield the best results.	Biannually	- All data and evidence from monitoring actions will be reviewed internally to inform decision making. -Actions will be taken to redirect the project as necessary and within reason to ensure best possible results are able to be achieved.	\$10,000 for one team retreat per year; other reviews will take place in office
Project report	To inform the project board and other partners of progress made against outputs, of risks and mitigation measures, and any other relevant information as necessary	Annually (with the final report at the end of the project)	-A progress report will be presented to the project board and other key stakeholders, which will consist of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project rating summary, an updated risk log with mitigation measures, and any evaluation or review	\$30,000

			reports prepared over the period.		
Project board	To oversee and ensure the quality of the project and of results achieved, to ensure realistic budgeting, and to promote project results/lessons learned	Annually	-The project board will hold regular project review to assess the performance of the project and review the work plan to ensure realistic budgeting over the life of the project. In the project's final year, the project board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results/lessons learned with relevant audiences. -Any quality concerns or slower than expected progress should be discussed by the project review board and management actions agreed to address the issues identified.		\$65,000

VII. MULTI-YEAR WORK PLAN⁶⁶

Programme Outputs	Linked SP Outputs	Planned Activities ⁶⁷		Planned Budget			
		Type	Responsible Party	Funding Source ⁶⁸	Budget Description ⁶⁹	Amount in USD	
						Per Annum	4-year Total
Output 1: Contribute to a political environment at country level which strengthens rule of law and human rights.	2.3, 3.4, 3.5, 4.2	Programme Support ⁷⁰	RoLJSHR		Activities 1, 7	\$2,000,000	\$8,000,000
		Policy Support ⁷¹			Activities 2, 4	\$500,000	\$2,000,000
				TOTAL	\$2,500,000	\$10,000,000	
Output 2: Capable justice and security institutions are established and strengthened to increase and improve service delivery in crisis-affected and transitional settings.	3.4, 3.5, 4.2	Programme Support	RoLJSHR		Activities 1, 6, 7	\$5,625,000	\$22,500,000
		Policy Support			Activity 2	\$1,875,000	\$7,500,000
				TOTAL	\$7,500,000	\$30,000,000	
Output 3: Armed violence is reduced and community security is increased.	3.4, 3.5, 4.2	Programme Support	RoLJSHR		Activities 1, 6, 7	\$1,968,750	\$7,875,000

⁶⁶ Annual work plans, detailing specific activities for each type of planned assistance, will be annexed to this document yearly. The 2016-2017 annual work plan is available in Annex 6. Project documents and work plans for country projects are available upon request and approval from the Project Manager.

⁶⁷ For more detailed descriptions of possible indicative activities under each programme area, refer to section 3.1 in the preceding narrative.

⁶⁸ Funding sources to be assigned following finalization of donor commitments

⁶⁹ In ATLAS, budget activity categories are as follows: Activity 1 – Country Support; Activity 2 – Practice Development; Activity 4 – Workshops; Activity 6 – ISACS; Activity 7 – Global Focal Point

⁷⁰ General programme support is provided by Headquarters (including Regional Hubs) through, for example, country support; project document formulation; financial, operational and technical support to implementation; resource mobilization; and outreach.

⁷¹ General support to policy development may occur through modalities such as generating, brokering and sharing evidence-based knowledge, including through online platforms; facilitating peer-to-peer knowledge exchanges; building consensus around policy issues through partnership development and strengthening; and development of guidance in key policy/thematic areas.

		Policy Support			Activity 2	\$656,250	\$2,625,000
					TOTAL	\$2,625,000	\$10,500,000
Output 4: National human rights systems are strengthened and more effective in the promotion and protection of human rights.	2.3	Programme Support	RoLJSHR		Activities 1, 7	\$1,125,000	\$4,500,000
		Policy Support			Activity 2, 4	\$375,000	\$1,500,000
					TOTAL	\$1,500,000	\$6,000,000
Output 5: Access to justice for all is increased, particularly for vulnerable and marginalized groups, including minorities, and discrimination, exclusion and other drivers of fragility are reduced and addressed.	3.4, 4.2	Programme Support	RoLJSHR		Activities 1, 7	\$1,875,000	\$7,500,000
		Policy Support			Activity 2	\$625,000	\$2,500,000
					TOTAL	\$2,500,000	\$10,000,000
Output 6: Transitional justice processes are promoted in conflict-affected contexts.	3.4, 4.2	Programme Support	RoLJSHR		Activities 1, 7	\$1,125,000	\$4,500,000
		Policy Support			Activity 2	\$375,000	\$1,500,000
					TOTAL	\$1,500,000	\$6,000,000
Output 7: Human rights, access to justice, and security	2.3, 3.4, 3.5, 4.2	Programme Support	RoLJSHR, in partnership with UNDP Gender Team		Activities 1, 7	\$2,531,250	\$10,125,000

for women are increased.		Policy Support			Activity 2	\$843,750	\$3,375,000
					TOTAL	\$3,375,000	\$13,500,000
Output 8: High quality programming is assured through improved planning, monitoring and evaluation, and impact assessment.	N/A	Programme Support	RoLJSHR		Activities 1, 7	\$1,290,000	\$4,000,000
		Policy Support			Activities 2,4	\$210,000	\$2,000,000
					TOTAL	\$1,500,000	\$6,000,000
					OVERALL TOTAL	\$23,000,000	\$92,000,000

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

A Project Board will oversee the implementation of this Global Programme, as outlined below. This Project Board will determine annual work plans and will establish responsibility lines for implementation across UNDP.

The Project Board will be composed as follows:

Executive: Chief of Profession, Governance and Peacebuilding Cluster, Bureau of Policy and Programme Support

Role description:

1. Overall direction and guidance for the programme
2. Chair Programme Executive Board meetings and reviews
3. Set management stage tolerances
4. Review delivery of programme results and objectives
5. Recommend corrective action when required

Senior Supplier: Country Project Teams (all relevant UNDP, GFP and other UN technical experts, programme officers, and implementing partners in both priority and non-priority countries)

Role description:

1. Ownership of the programme from a supplier viewpoint
2. Attend Programme Executive Board meetings and reviews
3. Prioritize programme issues
4. Review exception reports and exception plans
5. Recommend corrective action when required

Senior User: UNDP Regional Bureaus (Africa, Arab States, Asia and the Pacific, Europe and the Commonwealth of Independent States, Latin American and the Caribbean)

Role description:

1. Ownership of the programme from a user/stakeholder viewpoint
2. Attend Programme Executive Board meetings and reviews
3. Review exception reports and exception plans
4. Recommend corrective action when required

Programme Assurance: TBC

Role description:

1. Carry out objective and independent programme oversight and monitoring functions
2. Attend Programme Executive Board meetings and reviews
3. Supplier assurance carried out by spot-check/audit of deliverables and outputs
4. Exercise approval authority for transactions up to his/her level of authority.
5. Review products/deliverables via quality reviews

Programme Manager: Team Leader, Rule of Law, Justice, Security and Human Rights Team, Bureau of Policy and Programme Support

Role description:

1. Overall management of the programme
2. Strategic planning, monitoring and control
3. Reporting progress through highlight reports
4. Overall management of team members

5. Delivery of the project deliverables
6. Collaboration with Regional Bureaus on programme implementation

Project Support Unit: Programme Management Specialist (1 staff), Programme Associate (1 staff)

Role description:

1. Day-to-day management of the programme
2. Reporting progress on both progress and financial expenditures
3. Partnership building and external relations
4. Tasked with specific deliverables as determined by the Programme Manager

Programme Team A: RoLISHR HQ Staff - Policy Advisors (2 staff), Policy Specialists (9 staff + 2 secondments), Policy and Programme Analysts (3 staff)

Role description:

1. Day-to-day programme implementation, in collaboration with other UN/UNDP capacities, as appropriate.
2. Tasked with specific deliverables according to technical expertise.

Programme Team B: UNDP Regional Hub Staff, co-located GFP HQ Staff, other BPPS technical experts - Programme/Policy Specialists (5 staff + 3 co-located Secretariat staff + 2 secondments, and others as necessary on an ad hoc basis)

Role description:

1. Day-to-day programme implementation, in collaboration with other UN/UNDP capacities, as appropriate.
2. Tasked with specific deliverables according to technical expertise.

Programme Team C: Additional Technical Specialists (2 staff, Team of Experts on Rule of Law/SVC and UN ISACS)

Role description:

1. Day-to-day programme implementation, in collaboration with other UN/UNDP capacities, as appropriate.
2. Tasked with specific deliverables according to technical expertise.

Project Partners: Donor partners, other external technical specialists as necessary

Role description:

1. Advise the Project Board on allocation decisions through regular participation in quarterly discussions and the Annual Meeting.
2. Provide technical expertise and capacity for implementation as appropriate.

In addition to the above programme management structure, the Global Programme will continue to lead the Global Focal Point arrangement with DPKO to deliver on the project outputs and outcomes – including through the support of co-located UNDP and UN Secretariat staff at headquarters in New York. Further, it will maintain its financial and technical support the International Small Arms Control Standards Programme Specialist and the Technical Specialist for the Team of Experts on Rule of Law/Sexual Violence in Conflict.

The allocation of funding through this Global Programme will be determined according to three overarching principles of **performance** (the effectiveness of resource utilization), **need** (the requirement of resources to achieve results or goals), and **transparency** (clarity of allocation regulations and processes).

Additionally, the Global Programme aims to achieve the following objectives through resource allocation:

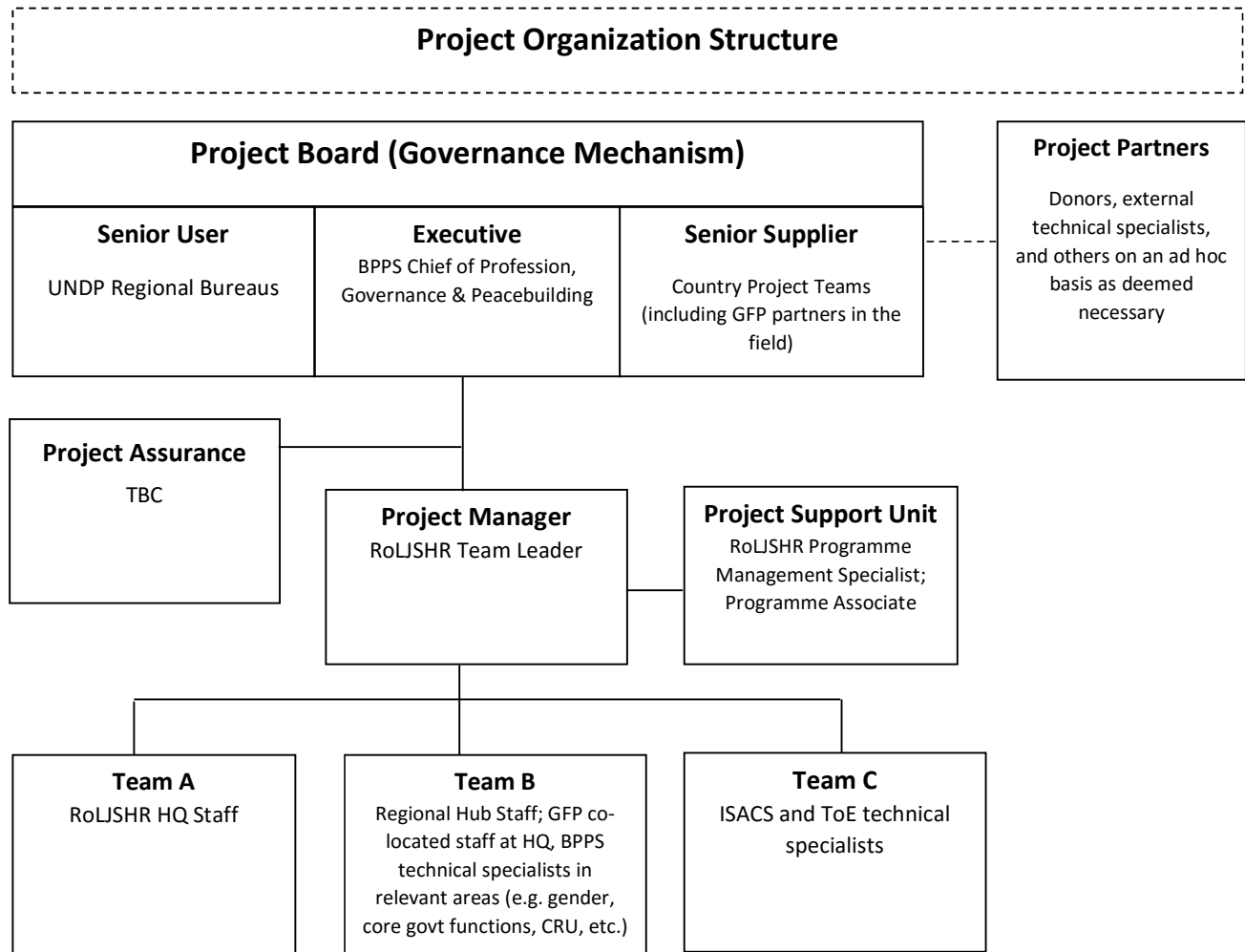
- Maximize the effectiveness of **UN System joint delivery** of rule of law and human rights assistance to deliver results and incentivize performance;
- Ensure that funding is channeled to **support strategic priorities** defined by national stakeholders, in cooperation with UN leadership and other international or bilateral partners;
- Facilitate **prioritization** for allocation of limited resources against competing needs and requests (where applicable);
- Ensure **fairness** in resource allocation.

Based on the above objectives, as well as on regular discussions with Project Partners, resource allocations will be determined by the Project Board in accordance with the Annual Work Plan. Global Focal Point and other UN partners will be invited to submit their recommendations on allocation priorities to the board for consideration through regular, quarterly discussions. Additionally, external partners such as donors and external technical specialists will receive regular updates regarding the status of country allocation decisions, and will be given the opportunity bi-annually to provide inputs and recommendations for consideration by the Project Board.

In certain cases, such as a sudden outbreak of crisis or conflict, or an emerging 'special development situation' (i.e. the recent Ebola outbreak), an ad hoc meeting of the Project Board can be convened to determine whether additional allocations are needed and warranted in conjunction with any ongoing corporate response.

This Global Programme will be made operational as a cost-sharing arrangement. However, please note that governance and management arrangements are subject to change based on ongoing discussions on fund management options.

Figure 2: Programme Governance and Management Diagram



IX. LEGAL CONTEXT AND RISK MANAGEMENT

9.1 Legal context standard clauses

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](#) attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof. All references in the SBA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP 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.

9.2 Risk management standard clauses

1. UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP agrees to undertake all reasonable efforts to ensure that none of the [project funds]⁷² [UNDP funds received pursuant to the Project Document]⁷³ are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Consistent with UNDP’s Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. 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.

⁷² To be used where UNDP is the Implementing Partner

⁷³ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

X. ANNEXES

Annex 1: Project Quality Assurance Report

EXEMPLARY (5) ●●●●●	HIGH (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
70-72 points	60-69 points	46-59 points	30-45 points	24-29 points
DECISION				
<ul style="list-style-type: none"> • APPROVE – the programme is of sufficient quality to continue as planned. • APPROVE WITH QUALIFICATIONS – the programme has issues that must be addressed before the country programme document can be cleared for submission to the Executive Board. • DISAPPROVE – the programme has significant issues that require substantial revision before it is reviewed again. 				
RATING CRITERIA				
(For each question, select the option from 1-3 that best reflects the programme)				
STRATEGIC				
1. Is the programme’s analysis of the issues rigorous and credible, and does the Theory of Change specify an evidence-based and plausible change process/pathway? <ul style="list-style-type: none"> • 3: The programme has an analysis and theory of change with a clear and plausible change pathway backed by credible evidence that has been used to define the programme priorities. The CPD describes why the programme’s strategy is the best approach at this point in time. • 2: The programme has an analysis and theory of change backed by some evidence that has been used to define the programme priorities. • 1: The programme is described in generic terms and analysis is not backed by credible evidence. There are no citations of evaluations, assessments, research or data. Programme priorities are poorly articulated. 	3	2		
	1			
	Evidence		This is expected to improve on completion of project reference in Footnote 17	
2. Does the CPD adequately describe UNDP’s comparative advantage in the chosen programme priorities? <ul style="list-style-type: none"> • 3: Analysis has been conducted on the role of other partners in the areas that the programme intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the programme, including through evaluations and past lessons learned (i.e., what has worked in similar contexts.) • 2: Some analysis has been conducted on the role of other partners in the areas that the programme intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the programme. • 1: No analysis has been conducted on the role of other partners in the areas that the programme intends to work to inform the design of the role envisioned by UNDP and other partners through the programme. 	3	2		
	1			
	Evidence		See p. 7-12 UNDP’s comparative advantage is clearly delineated, including in conjunction with its Global Focal Point partners, and others in the international community	
3. Is the programme thematically aligned with the UNDP Strategic Plan?	3	2		
	1			

<ul style="list-style-type: none"> • 3: Programme priorities explicitly reflect one or more areas of development work^[1] as specified in the Strategic Plan (SP.) It integrates among programme priorities one or more of the proposed new and emerging areas^[2] and the programme's RRF includes at least one SP outcome indicator per programme outcome. • 2: Programme priorities are consistent with the three areas of development work as specified in the SP. The programme's RRF includes at least one SP outcome indicator per programme outcome. • 1: Some programme priorities clearly fall outside of the three areas of development work as specified in the SP without any justifiable programmatic rationale. 	<p>Evidence</p> <p>p. 15-26 and RF Each output is linked directly to the SP</p>	
<p>4. Is UNDP working with other UN agencies to achieve joint results?</p> <ul style="list-style-type: none"> • 3: The programme includes up to four outcomes which exactly match the relevant UNDAF outcomes. The CPD explains UNDP's role in relation to other UN agencies in achieving these results, based on comparative advantage. Priorities for strengthening partnerships with other UN agencies are clearly identified. • 2: The programme includes up to four outcomes which exactly match the relevant UNDAF outcomes. Some explanation is given of the roles of UNDP and other UN agencies in achieving these results, and of the partnerships required for this. • 1: Some programme outcomes may not be directly aligned with the UNDAF outcomes. There is not a clear explanation of the roles of UNDP and other agencies in achieving joint results. 	<p>3 2</p> <p>1</p>	<p>Evidence</p> <p>p. 8-10, 27-29 This programme is the foundation for the operational activities of the Global Focal Point for RoL in Crisis Contexts (N/A re: UNDAF Outcomes)</p>
<p>RELEVANT</p>		
<p>5. Is the proposed programme responsive to national priorities?</p> <ul style="list-style-type: none"> • 3: There is credible evidence that all of the proposed programme outcomes and indicative outputs are fully responsive to national priorities. • 2: There is some evidence that the proposed programme outcomes and indicative outputs contribute to national priorities. • 1: There is no evidence that the programme responds to national priorities. 	<p>3 2</p> <p>1</p>	<p>Evidence</p> <p>p. 30, 33 National priorities are disaggregated by country-level projects</p>
<p>6. Does the CPD consistently apply an issue-based approach to its rationale, programme priorities, partnerships and monitoring and evaluation?</p> <ul style="list-style-type: none"> • 3: The programme rationale elaborates on multidimensional development issues in describing the development context of the country. Programme priorities involve collaborative and integrated multi-sectoral work (e.g., around target groups or geographic areas) and the engagement of partners to complement UNDP expertise. M&E frameworks are built around a broad range of evidence that facilitate understanding of interconnections among development results and challenges in different areas. • 2: The programme rationale describes the development context of the country, exploring at least some interconnections among identified development challenges. Programme priorities are defined as collaborative and multi-sectoral areas of work, including by engaging partners to complement UNDP expertise. M&E frameworks help understand the interconnection of development results and challenges. • 1: The programme rationale mostly describes a list of development challenges, without exploring their interconnections, and the country profile is not clear. Programme priorities are mostly formulated on a sectoral/practice base and without a clear role for partners. The M&E framework relies mostly on sectoral evidence. 	<p>3 2</p> <p>1</p>	<p>Evidence</p> <p>p. 1-7, 32-34</p>
	<p>3 2</p>	

[1] 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

[2] Sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

<p>7. Has adequate gender analysis been conducted for the proposed programme, and has the design of the programme addressed the results of the gender analysis?</p> <ul style="list-style-type: none"> • 3: Gender analysis has been conducted, and gender equality concerns are fully and consistently reflected in the programme rationale, priority areas and corresponding RRF through at least one gender-specific outcome, and indicative outputs and indicators, where appropriate, and at least 15% of the budget allocated for gender specific results. • 2: Gender analysis has been partially conducted, and gender equality concerns are reflected in the programme rationale, priority areas and corresponding RRF through gender-specific outcomes, and/or indicative outputs and indicators, where appropriate. • 1: Programme priorities do not consider gender-specific needs or issues. 	<p style="text-align: center;">1</p> <p style="text-align: center;">Evidence</p> <p>p. 25-27, 37, 43 The programme includes a strong gender component and 15% of the budget is officially allocated to this output</p>								
SOCIAL & ENVIRONMENTAL STANDARDS									
<p>8. Has the programme adequately considered the potential risks and opportunities related to gender equality and women's empowerment?</p> <ul style="list-style-type: none"> • 3: The CPD explicitly describes how women will benefit from programme opportunities and benefits. The CPD has identified and fully addressed any relevant risks related to potential gender inequality and discrimination against women and girls. • 2: The CPD mentions how it intends to consider how women will benefit from programme opportunities and benefits. The CPD has identified and partially addressed any relevant risks related to potential gender inequality and the situation of women and girls. • 1: The CPD does not describe how women will benefit from programme opportunities and benefits. It does not identify or address relevant risks related to potential gender inequality and the situation of women and girls. 	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> <tr> <td colspan="2">p. 25-27, 55, 58 The programme has a strong gender programmatic component</td> </tr> </table>	3	2	1		Evidence		p. 25-27, 55, 58 The programme has a strong gender programmatic component	
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Evidence									
p. 25-27, 55, 58 The programme has a strong gender programmatic component									
<p>9. Does the programme apply a human rights based approach adequately and evenly across the programme?</p> <ul style="list-style-type: none"> • 3: Strong evidence that the programme actively promotes the fulfilment of human rights and prioritizes the principles of accountability, meaningful participation, and non-discrimination. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed and any relevant appropriate mitigation and management measures incorporated into programme rational, strategy, and results and resource framework. • 2: Partial evidence that the programme promotes the fulfilment of human rights and the principles of accountability, meaningful participation, and non-discrimination were considered. Potential adverse impacts on enjoyment of human rights were identified and assessed and any relevant appropriate mitigation and management measures incorporated into the programme rationale, strategy, and results and resources framework. • 1: No evidence that opportunities to promote the fulfilment of human rights were considered in the programme, including consideration of the principles of accountability, meaningful participation and non-discrimination. Limited evidence that potential adverse impacts on enjoyment of human rights were considered. 	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> <tr> <td colspan="2">p. 15-27, 33, 55 One of the primary outcomes of the programme is strengthened human rights</td> </tr> </table>	3	2	1		Evidence		p. 15-27, 33, 55 One of the primary outcomes of the programme is strengthened human rights	
3	2								
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Evidence									
p. 15-27, 33, 55 One of the primary outcomes of the programme is strengthened human rights									
<p>10. Does the programme consider potential environmental opportunities and adverse impacts, applying a precautionary approach?</p> <ul style="list-style-type: none"> • 3: Strong evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered and integrated in programme strategy and design as relevant. Strong evidence that potential adverse environmental impacts have been considered, and avoided where possible, in the programme design. The risk management approach includes potential environmental risks and how the programme will ensure appropriate assessment is conducted and management measures put in place. • 2: Partial evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered as relevant. Partial evidence that potential adverse environmental impacts have been considered, and avoided where possible, in the programme design. The risk management approach considers potential environmental risks and management measures. • 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts and risks were adequately considered. 	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> <tr> <td colspan="2">p. 54-56 Included in the SES analysis</td> </tr> </table>	3	2	1		Evidence		p. 54-56 Included in the SES analysis	
3	2								
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Evidence									
p. 54-56 Included in the SES analysis									

MANAGEMENT & MONITORING

<p>11. Are the programme's outcomes and indicative outputs at an appropriate level and relate clearly to the theory of change and selected priority areas as described in the narrative?</p> <ul style="list-style-type: none"> • 3: The programme's proposed outcomes and indicative outputs are at an appropriate level and relate in a clear way to the programme's theory of change. There is a strong congruence between the CPD rational, programme priorities and results framework. • 2: The programme's proposed outcomes and indicative outputs are at an appropriate level and are consistent with the programme's theory of change. There is general coherence between the CPD narrative and the results framework. • 1: The programme's selection of outcomes and indicative outputs are not clearly justified in terms of a programme theory of change. There is no or limited relationship between the programme's narrative and selected priority areas and the results framework. 	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> </table>	3	2	1		<p>Evidence</p> <p>p. 35-37</p> <p>This is expected to improve on completion of project reference in Footnote 17</p>
3	2					
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<p>12. Are the indicators selected to monitor the results of the programme appropriate with fully populated baselines and milestones?</p> <ul style="list-style-type: none"> • 3: Outcomes and indicative outputs are accompanied by SMART, results-oriented indicators that measure the key expected changes identified in the theory of change, each with credible data sources and fully populated baselines, milestones and targets, including appropriate use of gender sensitive, sex-disaggregated and/or target group-focused indicators where appropriate. The RRF includes all relevant IRRF indicators at the outcome and output levels. • 2: Outcomes and indicative outputs are accompanied by SMART, results-oriented indicators with specified data sources. Most baselines and targets populated. Some use of gender sensitive, sex-disaggregated and/or target group focused indicators, but there is scope to improve further. The RRF includes some relevant IRRF indicators. • 1: Indicators not appropriately specified with corresponding baselines and targets. No gender sensitive, sex-disaggregated or target group-focused indicators. No clear inclusion of relevant IRRF indicators in the RRF. 	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> </table>	3	2	1		<p>Evidence</p> <p>p. 35-37</p>
3	2					
1						
<p>13. Are the monitoring arrangements adequate?</p> <ul style="list-style-type: none"> • 3: Provides details on data sources to be used for monitoring all programme indicators, including responsibilities for data collection with timing and cost of direct data collection activities specified. Highlights particular issues regarding availability, quality, frequency or reliability of selected data sources, and appropriate plans to address these (e.g., systems strengthening, use of proxies, etc.) Plans are in place for generating appropriate analytics from available data, and ensuring adequate staff capabilities for enhanced M&E. Key risks relating to M&E are included in the programme risk log. • 2: Provides details on data sources identified in the RRF, with a particular focus on sources for which direct data collection is required or for which existing M&E or statistical systems need to be strengthened, with a budget allocated for these activities. Appropriate plans are in place to address major data gaps or weaknesses, with some reference to use of data for analytics and ensuring adequate staff capacities for enhanced M&E. • 1: Does not identify the main data sources to be used in tracking programme results or consider their quality. Does not clearly identify who will participate in generating data or using it for monitoring. 	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> </table>	3	2	1		<p>Evidence</p> <p>p. 35-40</p>
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<p>14. Is there an adequate, realistic and costed evaluation plan?</p> <ul style="list-style-type: none"> • 3: Detailed plans are provided for an appropriate set of strategic evaluations, including final and mid-term evaluations, with timing and relevant partners specified. A realistic estimate of the costs is provided, with expected funding source(s) identified. UNDP contributions towards the cost of evaluation are included in the programme budget. Programme design takes into account evaluation requirements. • 2: An appropriate set of strategic evaluations are listed with timing and relevant partners specified. A realistic cost estimate is provided for each evaluation, even if a funding sources are not provided, and included in the budget. • 1: Insufficient details are provided to judge the suitability of evaluations planned. Some details are missing on the timing, evaluation type, relevant partners, or estimated cost of the evaluations, or stated costs are unrealistic. 	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> </table>	3	2	1		<p>Evidence</p> <p>p. 38-40</p>
3	2					
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<p>15. Have the key programme risks and opportunities been identified, linked to the assumptions in the theory of change, with clear plans stated to respond?</p> <ul style="list-style-type: none"> • 3: Programme risks and opportunities fully described in the CPD, based on comprehensive analysis which references key assumptions made in the project’s theory of change. Clear and complete plan in place to manage and mitigate each risk and take advantage of opportunities. • 2: Programme risks and opportunities identified in the CPD. Clear plan in place to manage and mitigate risks. • 1: Some risks identified in CPD, but no or inadequate response measures identified. 	3	2
	1	
	<p>Evidence</p> <p>p. 29-30, risk log annex</p> <p>This will be further strengthened on completion of project reference in Footnote 17</p>	
EFFICIENT		
<p>16. Does the programme document include explicit consideration of strategies for scaling up to achieve greater impact?</p> <ul style="list-style-type: none"> • 3: The CPD specifically mentions potential for scaling up to achieve greater impact with available resources⁷⁴. The results framework includes suitable indicators to monitor changes in the scale of benefits achieved over time⁷⁵. • 2: The CPD includes some consideration of current or future opportunities for scaling up to achieve greater <u>impact with available resources</u>. • 1: The CPD does not consider strategies for scaling up in the programme priorities or results framework. 	3	2
	1	
	<p>Evidence</p> <p>p. 31-34</p>	
<p>17. Does the CPD provide a convincing account as to how the expected size and scope of the results can feasibly be delivered with the available resources and resource mobilization opportunities?</p> <ul style="list-style-type: none"> • 3: The size and scope of the programme is very congruent with the indicative resources available for the programme and resource mobilization opportunities emerging from donor intelligence. The CPD outlines a “Plan B” to scale down the expected results if there are challenges raising the required funds. • 2: The size and scope of the programme is consistent with the indicative resources available for the programme and resource mobilization opportunities emerging from donor intelligence. While the CPD does not outline a “Plan B” to scale down the expected results if there are challenges raising the required funds, it is reasonably likely that the country office will have the flexibility to adjust the programme if needed. • 1: The size and scope of the programme is not congruent with the indicative resources available for the programme and/or with the resource mobilization opportunities emerging from donor intelligence. It is not likely that the programme will be able to mobilize the required resources to implement the programme. 	3	2
	1	
	<p>Evidence</p> <p>p. 32-34 Priority countries have been agreed by RBx</p>	
EFFECTIVE		
<p>18. Has the proposed programme adequately used evaluation findings and other outcome-level evidence from other/prior programme performance?</p> <ul style="list-style-type: none"> • 3: Knowledge and lessons learned backed by credible evidence from evaluation, analysis, corporate policies/strategies, and monitoring have been <u>explicitly used, with appropriate referencing</u>, to develop the programme’s theory of change and justify the approach used by the programme over alternatives. • 2: The programme design references knowledge and lessons learned backed by evidence from evaluation, analysis, corporate policies/strategies, and monitoring and/or other sources, but <u>these references have not been explicitly used</u> to develop the programme’s theory of change or justify the approach used by the programme over alternatives. 	3	2
	1	
	<p>Evidence</p> <p>This is expected to improve on completion of project</p>	

⁷⁴ i.e., through significant geographic or target group coverage, strategic partnership strategies for upscaling UNDP pilots or innovations, and/or contribution to policy change that can effect results at scale.

⁷⁵ For example, indicators related to policy making processes do not measure just the adoption and implementation of a policy, but also its intended benefits on target groups.

<ul style="list-style-type: none"> • 1: There is only <u>scant, or no, mention</u> of knowledge and lessons learned informing the programme design. Existing references <u>are not backed by evidence</u>. 	reference in Footnote 17										
<p>19. Has the programme effectively identified targeted groups/areas and are strategies in place for regular engagement throughout implementation to ensure voice and participation?</p> <ul style="list-style-type: none"> • 3: Target groups/areas are clearly specified and the theory of change explains why these group will be targeted. The programme has a strategy to identify and engage target groups/areas through programme monitoring, governance and/or other means to ensure the programme remains relevant to their needs. • 2: Some target groups/areas are mentioned in the CPD in broad terms. The programme mentions how it will engage targeted groups/areas throughout implementation. • 1: The target groups/areas are not specified in the CPD. The programme does not have a written strategy to identify or engage the target groups/areas throughout implementation. 	<table border="1"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> <tr> <td colspan="2" style="text-align: center;">p. 22-29</td> </tr> </table>	3	2	1		Evidence		p. 22-29			
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Evidence											
p. 22-29											
<p>20. Has the CPD integrated adequate analysis and explicit measures to promote and utilize South-South and Triangular Cooperation?</p> <ul style="list-style-type: none"> • 3: South-South and Triangular Cooperation opportunities are fully described in the CPD, based on up-to-date and comprehensive demands assessment and demand-supply matching results. Clear indication of measurable results to be achieved through South-South and Triangular Cooperation in the CPD. • 2: Specific South-South and Triangular Cooperation opportunities are described in the CPD, based on consideration of demand and UNDP comparative advantage. Some indication of measurable results to be achieved through South-South and Triangular Cooperation in the CPD. • 1: CPD may refer to South-South and Triangular Cooperation but does not give specific plans for how it will be used. There is no evidence to support why or why not South-South and Triangular Cooperation has been opted. 	<table border="1"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> <tr> <td colspan="2" style="text-align: center;">p. 31</td> </tr> </table>	3	2	1		Evidence		p. 31			
3	2										
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Evidence											
p. 31											
SUSTAINABILITY & NATIONAL OWNERSHIP											
<p>21. Have national partners proactively engaged in the design of the programme?</p> <ul style="list-style-type: none"> • 3: The programme has been developed jointly by UNDP and a range of national partners (government, donors, civil society, beneficiaries, etc.), with credible evidence of this provided in the CPD. • 2: The programme has been developed by UNDP in consultation with national partners (esp. government), with some evidence of this mentioned in the CPD. • 1: The programme has been developed by UNDP with limited or no engagement with national partners. There is little to no mention of engagement with national partners on the programme design in the CPD. 	<table border="1"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> <tr> <td colspan="2" style="text-align: center;">A wide consultation process was conducted to formulate this programme.</td> </tr> </table>	3	2	1		Evidence		A wide consultation process was conducted to formulate this programme.			
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Evidence											
A wide consultation process was conducted to formulate this programme.											
<p>22. Are key institutions and systems identified, and is there a strategy to ensure the sustainability of results (i.e., to ensure that results last and even grow beyond UNDP's engagement?)</p> <ul style="list-style-type: none"> • 3: The programme has a strategy for strengthening capacities of national institutions integrated throughout the programme, which is reflected in the identification of outcomes, indicative outputs and indicators. • 2: The CPD has identified indicative outputs that will be undertaken to strengthen capacity of national institutions, but these outputs are not part of a comprehensive strategy and it is not clear how capacity and sustainability of results will be measured. • 1: There is mention in the programme document of capacities of national institutions to be strengthened through the programme, but there is no evidence of a specific strategy, measurement or incorporation into the results framework. 	<table border="1"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> <tr> <td colspan="2" style="text-align: center;">p. 14-27, RF</td> </tr> </table>	3	2	1		Evidence		p. 14-27, RF			
3	2										
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Evidence											
p. 14-27, RF											
<p>23. Does the programme include a strategy for using nationally-owned data sources and working with partners to strengthen national statistical systems and capacities?</p> <ul style="list-style-type: none"> • 3: The RRF includes some relevant country-specific outcome and output indicators that will be monitored using nationally-owned data sources. The M&E section includes an analysis of the availability and quality of existing national data sources and states clear plans for how UNDP will work with partners to strengthen national M&E and statistical systems where needed, in a way that contributes towards sustainable country capacities. • 2: The RRF includes some relevant country-specific outcome and output indicators that will be monitored using nationally-owned data sources. The M&E section includes some consideration of the quality of relevant national 	<table border="1"> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> <tr> <td colspan="2" style="text-align: center;">p. 36</td> </tr> <tr> <td colspan="2" style="text-align: center;">This is also disaggregated by</td> </tr> </table>	3	2	1		Evidence		p. 36		This is also disaggregated by	
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Evidence											
p. 36											
This is also disaggregated by											

<p>data sources and states plans for how UNDP will work with partners to strengthen these, with some consideration of building sustainable country capacities.</p> <ul style="list-style-type: none">• 1: The RRF does not include relevant country-specific outcome or output indicators or does not identify relevant national sources to be used in monitoring. The M&E section may include some plans to develop M&E systems required for programme monitoring, but does not address weaknesses in the broader national statistical system or capacities.	country-level project
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Annex 2: Risk Log

Risk category and description	Likelihood			Impact			Vulnerability	Analysis	Control/mitigation	Focal Point	
	L	M	H	L	M	H					
Strategic and political											
Changing political environments and national priorities, undermining or compromising programme operations				X			X	High	Due to the nature of the Global Programme's engagement in fragile contexts, it is sometimes the case that conflict, crisis, etc. affect the ability to operate. This has previously been the case in countries such as Burundi, CAR, Libya, South Sudan and Yemen.	-Engage in early warning scanning to identify potential hotspots for crisis. -Plan jointly with other UN and multilateral entities to access entry points in other areas of engagement, including those where needs have shifted from those identified in earlier analysis. -Creating flexible, quality programme frameworks at country level allows projects to overcome setbacks, such as a delay in activity due to instability, and resume successful implementation at the appropriate time.	RoLJSHR/GFP and country-level leadership
Changing priorities within the international community, weakening efforts to incorporate the rule of law in recovery, peacebuilding, and tackling fragility		X					X	Medium	Major crises such as the ongoing Syrian crisis, security concerns such terrorism and border control, and/or decisions taken in the coming months regarding financing across humanitarian, peacebuilding and development sectors could shift international priorities away from investing in UNDP rule of law efforts.	-Continue efforts to promote the SDGs, in particular Goal 16, as basis for criticality of rule of law for sustaining peace and fostering human development in vulnerable contexts. -Continue to build partnerships and position UNDP as the key leader in coordinating and delivering rule of law assistance in the international community, as well as on promoting Goal 16. -Improve understanding of donor interests and priorities for in-country programming, and engage in regular dialogue to build coalition around aligned strategies for implementation.	RoLJSHR/GFP
Coordination											
Weak inter-agency engagement from partners at headquarters and country level								Medium	HQ coordination is strong due to the GFP. However, the GFP has been less successful at mobilizing UN actors in the field to jointly engage and deliver on rule of law assistance due to low visibility and lack of communication.	-Strengthen communications and engagement from relevant UN agencies/bodies, and improve HQ ability to navigate and overcome administrative obstacles to joint efforts. -Improve efforts and ability to engage, understand and meet UN senior management and/or political leadership immediate concerns and	RoLJSHR/GFP and country-level leadership

									needs to allow for future rule of law and human rights engagement. -Encourage practices at field level such as colocation and integrated posts linking UNDP and the Mission in question in support of joint analysis and implementation, particularly in the most difficult contexts (which often have the largest portfolios).		
Programmatic											
Inadequate response to resource mobilization efforts and/or funding available, hampering capacity to react to the increasing demand from the Country Offices and host governments		X					X		Medium	The current in many traditional donor countries of adopting national austerity measures has resulted in a significant reduction of ODA in recent years. This has directly impacted the core funding made available to the RoLJSHR team to sustain operational activities. Additionally, many Global Programme partners are unable to secure and commit to multiyear funding proposals. -Resource mobilization for the programme is ongoing with both traditional and non-traditional partners, and multiyear donor commitments are in the process of being secured. -Each member of the RoLJSHR team shares responsibility to mobilize financial resources (and in-kind resources where appropriate), and should work to better understand donor interest for in-country RoLJSHR programming. -Creating flexible programme frameworks at country level allows projects to overcome setbacks, such as lack of funding, and reorient activities utilizing available resources. -Following the 2016 Annual Meeting on Strengthening the Rule of Law in Crisis Contexts, resource mobilization prospects are positive.	RoLJSHR Team Leader, with secondary responsibility on the RoLJSHR team members
Low quality of implementation and/or slow delivery leading to lack of visible results or impact		X					X		Medium	Due to the breadth of Global Programme operations as well as the current financial situation, RoLJSHR has less travel resources available than in previous phases. Thus, RoLJSHR staff is not always able to make personal field visits to oversee programme start-up and implementation at the country level to ensure quality. Additionally, various factors, such as lack of infrastructure, -Each focal point at HQ is in regular contact with both the RoLJSHR staff in the Regional Hubs and in the COs to assure project quality, oversee implementation and monitor results. -Expectations for delivery timeframe should also be managed, taking into account the long-term nature of rule of law reform.	RoLJSHR/GFP

								can result in slow utilization and spending of allocations.			
Operational											
Unpredictable management, lack of buy in, and/or financial constraints within Country Offices that prevent taking advantage of UNDP rule of law and human rights services		X					X	Medium	In certain contexts during previous phases, COs would shift priorities and focus of programmatic activities, leaving little resources for developing a comprehensive rule of law programme. In other cases, CO management has been altogether resistant to engage in the rule of law area.	-RoLJSHR can work across UNDP technical teams, GFP entities such as DPKO and DPA to identify areas where rule of law and human rights programming can be implemented into broader stabilization, peacebuilding and recovery programmes. This can serve as a reasonable stop-gap measure until support is garnered for development engagement across the whole rule of law and human rights sector.	RoLJSHR/GFP
Challenges in identifying highly qualified and experienced rule of law experts with whom to partner for rapid deployment			X				X	Medium	The RoLJSHR team has faced this challenge consistently when faced with a need for technical or substantive expertise in Arab-speaking states.	-Arab-speaking members of the RoLJSHR team have been available for short-term missions and detailed assignments to places such as Egypt, Jordan, Lebanon, the State of Palestine and Yemen to fill this gap. -Additionally, RoLJSHR – through CRU – maintains an expert roster of rapidly deployable personnel. Efforts should be made to strengthen capacities where gaps exist, such as that of Arab speakers. -Agreements are also being formalized with bilateral partners for future access to standing expert capacities for rapid deployment.	RoLJSHR/GFP
Lack of operational or technical capacities in Country Offices		X					X	Medium	The refugee crisis caused by the conflict in Syria and other economic/crisis situations across the MENA region have impacted places such as Jordan, Lebanon and Turkey. These now-host communities have not in recent years been classified as “crisis-affected or fragile,” however the rapid influx of refugees to these countries has resulted in a significant need for assistance from UNDP and the international community to provide services including those related to rule of law and human	-RoLJSHR has deployed technical experts on short-term missions to these COs to assess needs in these host communities, and aid in the design of country-level projects and programmes. While most COs supported by the Global Programme maintain technical capacities to implement rule of law and human rights programming, the capacities available at the HQ level (both in NY and the Regional Hubs) can stop-gap these needs when they arise until longer-term solutions are found.	RoLJSHR

								rights. As a result of this increased demand, COs which are not typically active in rule of law programming do not hold the technical capacities necessary to deliver in this area.		
Slow delivery due to differing functional modalities in various agencies/UN bodies			X			X	High	At the outset of the GFP, delivery on the ground was slow due largely to incompatible administrative systems between various UN entities. This caused some frustration amongst all relevant actors – UN, donors, national stakeholders, etc. – and initially posed a high risk to the successful implementation of the GFP arrangement.	-Through the mechanism of the GFP at HQ, substantial efforts have been made since 2012 to put in place business processes that allow for smoother operations at country level. -At field level, practices such as colocation and integrating posts that link UNDP and the Mission in question in support of joint analysis and implementation should be encouraged, particularly in the most difficult contexts (which often have the largest portfolios).	RoLJSHR/GFP
Security										
Limited ability to work in some priority countries due to security concerns for staff		X				X	Medium	The contexts supported by the Global Programme are, on the whole, classified as crisis/conflict-affected or fragile. These contexts present challenging operational environments where staff security needs are often elevated from those in normal development contexts.	-Security situations are continuously monitored with Country Offices to ensure that staff are safe, and to determine the feasibility of continuing programmatic assistance.	RoLJSHR/GFP

Annex 3: Social and Environmental Screening

Project Information

<i>Project Information</i>	
1. Project Title	Strengthening the Rule of Law and Human Rights for Sustaining Peace and Fostering Development
2. Project Number	
3. Location (Global/Region/Country)	Global

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

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
<i>Briefly describe in the space below how the Project mainstreams the human-rights based approach</i>
The project includes specific components to promote the mainstreaming of human rights as well as implementation of human rights policies. In addition to developing and disseminating guidance materials on human rights mainstreaming for UNDP as well as the UN system, the project will also seek to mainstream human rights as part of its justice, security and rule of law portfolios including ensuring that programming supported through the global programme promotes key HRBA principles of equality and non-discrimination and accountability and rule of law. As part of its technical assistance on RoLJSHR, the project will also seek to ensure wide participation in developing programming support including, where relevant, consultations of marginalized groups. Specific support is being provided through the project on supporting NHRIs, implementation of UPR recommendations, leading on the Human Rights up Front initiative, and guidance related to indigenous peoples.
<i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i>
With a specific focus on addressing sexual and gender based violence, including through the Team of Experts on Rule of Law and Sexual Violence in Conflict, the project includes promoting gender equality as a priority area. This includes working closely with the Gender Team to develop guidance on SGBV, providing technical assistance on increasing women's participation and leadership in justice and security processes and institutions in country level programming, and ensuring, through the Global Focal Point arrangement that joint programmes developed also include a focus on promoting women's equality in rule of law, justice and security sector support.
<i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i>
The project does not directly address conservation, biodiversity, protection of natural habitats as it focuses more on strengthening rule of law and governance systems. However, strengthening these systems can also benefit environmental sustainability as accountability and enforcement mechanisms will be put in place that can play a significant role in addressing key issues such as wildlife trafficking, encroachment of protected lands, accountability of actors who are responsible for environmental degradation or hazardous waste.

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</p>
<p>Risk 1: Supporting the establishment of redress mechanisms for human rights violations, while encouraging people to resolve conflicts, can also inadvertently put people at risk if the political environment still allows perpetrators to function with impunity, thereby putting people at risk of conflict.</p>	<p>I = 3 P = 1</p>	<p>Low</p>	<p>While the potential risk of creating conflict may be there in many cases justice mechanisms, including transitional justice mechanisms are developed with the government to address issues of impunity.</p>	<p>The project will be developing guidance and lessons to better work in transitional justice settings. It will also ensure that country projects being supported are developed keeping conflict sensitivity and adhering to Do No Harm principles. SES principles could also be revisited and reconsidered when developing programmes at the country level</p>
<p>Risk 2: The project aims to support addressing gender based violence through specific interventions that relate to increasing women’s participation and leadership in justice and security processes and institutions. However, as the institutions are often male dominated, there may be initial backlash against encouraging women to be part of the institutions</p>	<p>I = 3 P = 1</p>	<p>Low</p>	<p>While the risk of backlash in addressing deep seated cultural traditions and biases exists, the work of the project to enhance gender sensitivity, address SGBV and increase participation of women in justice and security institutions will seek to tackle these biases directly through training and mentoring support.</p>	<p>The technical assistance provided for developing national programmers to strengthen gender equality through rule of law, justice and security programming will</p>
<p>Risk 3: The project includes a component on providing technical assistance through the global team which will result in frequent travel of staff and consultants – affecting the environment and increasing pollution.</p>	<p>I = 2 P = 4</p>	<p>Low</p>	<p>As technical assistance is a large component of the programme, travel will be required</p>	<p>Where possible, remote support will be explored such as through IT mechanisms.</p>
<p>Risk 4: The project includes a component on engaging with IPs, including developing guidance notes in line with human rights</p>	<p>I = 2 P = 1</p>	<p>Low</p>	<p>The project will affect how UNDP works with IPs – however the focus will be on</p>	<p>The project aims to ensure that engagement with IPs through UNDP’s projects is in line with international standards. While the risk is that these guidelines will not be uniformly applied,</p>

standards. While the project affects IPs human rights – it is not a negative risk. The only foreseeable risk is that the guidance is not applied consistently in all countries			providing guidance in line with human rights standards so will not negatively affect human rights.	the project will also seek to support awareness raising and information sharing on this guidance. Additionally, in developing these guidelines, IP groups will be widely consulted before finalizing the guidance materials.
Risk 5: The project will work with UNHCR on developing coordinated rule of law responses to address displacement including issues of land tenure. As a result the project could affect land/tenure rights for displaced people.	I=2 P= 2	Low	The guidance being developed is meant to align with international standards and protect the rights of displaced populations.	While the project does affect people’s rights, it does will not negatively affect these rights. The risk may be if programmes fail to adhere to the guidance developed. The project has a component for disseminating knowledge and global advocacy which is committed to increasing internal and external knowledge on issues including on displacement.
QUESTION 4: What is the overall Project risk categorization?				
Select one (see SESP for guidance)			Comments	
<i>Low Risk</i>		<input checked="" type="checkbox"/>	The project is formulated to develop and implement global guidance on human rights, rule of law and displacement, and IPs. It also has a significant commitment to taking forward gender equality, especially addressing GBV. While the project will affect all the components of the SEES review, the project results has a low risk of negatively affecting these components.	
<i>Moderate Risk</i>		<input type="checkbox"/>		
<i>High Risk</i>		<input type="checkbox"/>		
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
Check all that apply			Comments	
<i>Principle 1: Human Rights</i>		<input checked="" type="checkbox"/>	N/A – low risk	
<i>Principle 2: Gender Equality and Women’s Empowerment</i>		<input checked="" type="checkbox"/>	N/A – low risk	
<i>1. Biodiversity Conservation and Natural Resource Management</i>		<input type="checkbox"/>		
<i>2. Climate Change Mitigation and Adaptation</i>		<input type="checkbox"/>		
<i>3. Community Health, Safety and Working Conditions</i>		<input type="checkbox"/>		
<i>4. Cultural Heritage</i>		<input type="checkbox"/>		
<i>5. Displacement and Resettlement</i>		<input type="checkbox"/>		
<i>6. Indigenous Peoples</i>		<input checked="" type="checkbox"/>	N/A – low risk	
<i>7. Pollution Prevention and Resource Efficiency</i>		<input type="checkbox"/>		

Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the Project. 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.

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁷⁶	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit 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
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause 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	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including 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	Does the Project involve 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	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No

⁷⁶ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ⁷⁷ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive 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
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g.	No

⁷⁷ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

	knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in 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	Is there a risk that the Project would lead to forced evictions? ⁷⁸	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect 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 the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	Yes
6.4	Has there been an 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	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose 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 Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No

⁷⁸ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No
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Annex 4: Outcome Indicators Baseline Table for Programme Priority Countries (based on 2015 data)

Country ⁷⁹	IIAG Safety and Rule of Law Score ⁸⁰	IIAG Participation and Human Rights Score	WJP Rule of Law Score ⁸¹	GPI Rank	Transparency International Corruption Perception Score ⁸²	ISACS Score ⁸³
Afghanistan	-	-	.35	160	11	
Bosnia and Herzegovina	-	-	.57	53	38	
Burundi	39.8	50.3	N/A	130	21	
Central African Republic	14.3	34.1	N/A	158	24	
Colombia	-	-	.50	146	37	
Democratic Republic of the Congo	28.3	32.4	-	155	22	
Guatemala	-	-	.44	118	28	
Guinea-Bissau	36.8	37.7	-	120	17	
Guinea (Conakry)	47.9	46.0	-	117	25	
Haiti	-	-	-	98	17	
Iraq	-	-	-	161		
Kosovo (UN Administered Territory) ⁸⁴	-	-	-	69	33	
Kyrgyzstan	-	-	.47	121	28	
Liberia	55.6	56.2	.45	78	37	
Libya	21.2	36.9	-	149	16	
Mali	48.7	45.8	-	128	35	
Myanmar	-	-	.42	130	22	
Nepal	-	-	.53	62	27	
Pakistan	-	-	.38	154	30	
Sierra Leone	58.0	60.8	.44	59	29	
Somalia	5.5	10.4	-	157	8	
South Sudan	14.9	20.6	-	159	15	
Sri Lanka	-	-	.51	114	37	
Sudan	20.1	22.6	-	156	12	
Syria	-	-	-	162	18	
Timor-Leste	-	-	-	58	28	
Tunisia	61.6	67.1	.56	76	38	

⁷⁹ These indices do not contain specific data for the State of Palestine, or aggregated data for the countries affected by the Syrian Crisis.

⁸⁰ The Ibrahim Index of African Governance (IIAG) is an annual statistical assessment of the quality of governance in every African country. As such, scores are not calculated for countries located on other continents. Scores range from 0 (lowest) to 100 (highest).

⁸¹ In 2015, scores and rankings were available for 102 countries across 8 primary rule of law indicators and 47 sub-factors. Scores range from 0 (lowest) to 1 (highest). For more information, see <http://worldjusticeproject.org/rule-of-law-index>.

⁸² According to the Transparency International website, "A country or territory's score indicates the perceived level of public sector corruption on a scale of 0 (highly corrupt) to 100 (very clean)."

⁸³ Pending availability, as this tool is recently developed

⁸⁴ UN Administered Territory. All designations made in this document are without prejudice to positions on status and are in accordance with UN Security Council Resolution 1244 (1999).

Ukraine	-	-	.48	150	27	
Yemen	-	-	-	147	18	

Annex 5: Breakdown of baselines (based on 2015 RoLJSHR Annual Report)

Output and general theme	Indicator	Countries
1. Political environment	1.2 Joint programmes in place to increase the impact of UN system delivery in creating political spaces for the development of justice, security and human rights institutions	CAR, DRC, Mali, Somalia, South Sudan, Sudan
2. Justice and security institutions	2.1 Number of countries where justice and security services reach out to an increasing and/or more inclusive number of people	Afghanistan, BiH, CAR, DRC, Guatemala, Guinea (Conakry), Haiti, Iraq, Jordan, Kosovo (UN Administered Territory), Kyrgyzstan, Liberia, Mali, Myanmar, Nepal, Pakistan, Sierra Leone, Somalia, South Sudan, Sri Lanka, State of Palestine, Sudan, Timor-Leste, Tunisia
	2.2 Number of countries with national-level security strategies that are developed through a participatory process, comply with human rights standards, and/or support reducing armed violence and promote control of small arms	<i>Indicator has not been previously reported on; thus no baseline is available.</i>
3. Community security and armed violence reduction	3.2 Number of countries with community policing programmes developed and/or operational	Afghanistan, Jordan, Kosovo (UN Administered Territory), Sierra Leone, Somalia, South Sudan, Tunisia
4. National human rights institutions	4.2 Number of countries with NHRIs receiving an “A status” rating from the GHANRI Sub-Committee on Accreditation.	Afghanistan, BiH, Burundi, Colombia, Guatemala, Haiti, Jordan, Nepal, Sierra Leone, State of Palestine, Timor-Leste, Ukraine
5. Access to justice	5.3 Number of countries with active access to justice and/or legal aid programmes in place at the community level.	Afghanistan, BiH, Colombia, Iraq, Jordan, Kosovo (UN Administered Territory), Nepal, Pakistan, Somalia, State of Palestine, Sudan, Tunisia
6. Transitional justice	6.2 Number of countries with transitional justice processes and/or mechanisms in place	BiH, Burundi, CAR, Colombia, Guatemala, Kosovo (UN Administered Territory), Libya, South Sudan, Tunisia, Yemen
7. RoLJSHR for women and girls	7.1 Increased representation of women in the justice and security sectors	<i>Indicator has not been previously reported on; thus no baseline is available.</i>
	7.3 Number of countries with justice and security services and other mechanisms/process in place to prevent, respond to, and address sexual and gender-based violence	Afghanistan, Burundi, CAR, DRC, Guatemala, Guinea (Conakry), Iraq, Liberia, Sierra Leone, Somalia, Sudan
8. Programme quality assurance	8.1 Number of country-level projects/programmes undertaking a uniform M&E approach	<i>Indicator has not been previously reported on; thus no baseline is available.</i>
	8.2 Number of country-level projects/programmes utilizing HRBA and SES	<i>Indicator has not been previously reported on; thus no baseline is available.</i>
	8.3 Number of ongoing and/or new external partnership agreements and opportunities supporting the delivery of UN RoL and HR assistance	<i>Indicator has not been previously reported on; thus no baseline is available.</i>

Annex 6: RoLJSHR Annual Work plans (to be annexed year-on-year)

RoLJSHR 2016-2017 work plan

Programme Outputs	Linked SP Outputs	Planned Activities					Planned Budget (USD)			
		Type	Activity	Responsible Parties			Funding Source	Budget Description ⁸⁵	Amount	
Manager	Team Members			Remarks	Funded	To be Mobilized				
1. Contribute to a political environment at country level which strengthens rule of law and human rights.	2.3, 3.4, 3.5, 4.2	Programme Support ⁸⁶	1.1 Support programmes to increase the impact of UN system delivery in creating political spaces for the development of justice, security and human rights institutions, including through the GFP and other joint efforts	Alejandro Alvarez	All RoLJSHR		Activities 1, 7	\$200,000	\$825,000	
			1.2 Support HRuF mechanism, including support to COs to implement RQR and SAG recommendations, deployment of technical experts, and utilization of HRuF as an early warning mechanism	Ana Graca	Antje Kraft Sarah Rattray		Activity 1		\$455,000	
			1.3 Finalization of HRDDP electronic tool	Ana Graca	Martin Borgeaud	IC (3 months in 2016) to develop and finalize tool		\$20,000		
			1.4 Regional support to human rights and anti-corruption	Alejandro Alvarez	Regional Hubs			\$500,000		
		Policy Support ⁸⁷	1.5 Support follow-up and implementation of recommendations from “Overcoming Political Obstacles to Rule of Law” project	Katy Thompson	Ludvig Becking		Activity 2	\$25,000	\$475,000	
									Funded Sub Total	\$245,000
							TBM Sub Total		\$2,255,000	
							OUTPUT SUB TOTAL		\$2,500,000	

⁸⁵ In ATLAS, budget activity categories are as follows: Activity 1 – Country Support; Activity 2 – Practice Development; Activity 4 – Workshops; Activity 6 – ISACS; Activity 7 – Global Focal Point

⁸⁶ General programme support is provided by Headquarters (including Regional Hubs) through, for example, country support; project document formulation; financial, operational and technical support to implementation; resource mobilization; and outreach.

⁸⁷ General support to policy development may occur through modalities such as generating, brokering and sharing evidence-based knowledge, including through online platforms; facilitating peer-to-peer knowledge exchanges; building consensus around policy issues through partnership development and strengthening; and development of guidance in key policy/thematic areas.

Output 2: Capable justice and security institutions are established and strengthened to increase and improve service delivery in crisis-affected and transitional settings.	3.4, 3.5, 4.2	Programme Support	2.1 Support development and implementation of sector-wide justice and security sector plans in justice, police, corrections and human rights, including through the GFP	Alejandro Alvarez Katy Thompson	All RoLJSHR	2x DA (3 months in 2016) followed by 2x IC (6 months in 2017) to cover long-term leave staff portfolios	Activities 1, 7	\$400,000	\$5,000,000
			2.2 Regional support to sector-wide justice and security programming	Alejandro Alvarez	Regional Hubs			\$225,000	
		Policy Support	2.3 2017 RoLJSHR Annual Meeting	Alejandro Alvarez	All RoLJSHR	IC (6 months 2017) for communications, advocacy and special events	Activity 2, 4	\$65,000	
			2.4 2016 RoLJSHR Annual Report	Alejandro Alvarez	Chelsea Shelton			\$70,000	
			2.5 Strengthen UN and UNDP policy on rule of law, justice and security (including SSR), including through partnerships development with other actors (WB, ISAAT, IDLO, SSR Task Force, etc.)	Katy Thompson	All RoLJSHR	\$1,740,000			
Funded Sub Total								\$400,000	
TBM Sub Total									\$7,100,000
OUTPUT SUB TOTAL									\$7,500,000
Output 3: Armed violence is reduced and community security is increased.	3.4, 3.5, 4.2	Programme Support	3.1 Support countries with development and implementation of comprehensive community-level approaches to reducing violence	Katy Thompson	All RoLJSHR		Activities 1, 7	\$100,000	\$906,400
			3.2 Provide support to country analysis and programme development that integrates SSR, AVR, DDR and small arms control approaches, including in the context of the GFP	Katy Thompson	Helen Olafsdottir	TA (DPC) to cover vacant staff post		\$250,000	\$50,000
			3.3 Support development and roll out of the International Small Arms Control Standards to support national efforts to reduce illicit arms flows.	Katy Thompson	Patrick McCarthy		Activity 6	\$45,100	\$75,000
			3.4 Support Member States to implement SDG 16.4 (illicit arms flows)	Katy Thompson	Patrick McCarthy			\$17,500	\$24,750
			3.5 Regional support to armed violence reduction and community security	Katy Thompson	Regional Hubs		Activity 1		\$500,000
		Policy Support	3.6 Support UNDP global policy and knowledge, including through strengthening partnerships, to advance policy on security-related issues.	Katy Thompson	All RoLJSHR		Activity 2		\$656,250

							Funded Sub Total	\$362,600	
							TBM Sub Total		\$2,262,400
							OUTPUT SUB TOTAL	\$2,625,000	
Output 4: National human rights systems are strengthened and more effective in the promotion and protection of human rights.	2.3	Programme Support	4.1 Completion and roll out of Global Principles for NHRI Capacity Assessments	Ana Graca	Sarah Rattray Antje Kraft		Activity 1		\$150,000
			4.2 With OHCHR, support capacity assessments of NHRIs with particular emphasis on implementation of follow-up recommendations in-country	Ana Graca	Sarah Rattray Antje Kraft			\$50,000	\$925,000
		Policy Support	4.3 Research and baseline study on the impact of NHRIs, including through UNDP support	Ana Graca	Sarah Rattray Antje Kraft		Activity 2, 4		\$125,000
			4.4 Provide support to the ICC and regional NHRI networks for knowledge development and advocacy for positioning NHRIs focusing on SDGs and NHRIs in conflict	Ana Graca	Sarah Rattray Antje Kraft			\$250,000	
							Funded Sub Total	\$50,000	
							TBM Sub Total		\$1,450,000
							OUTPUT SUB TOTAL	\$1,500,000	
Output 5: Access to justice for all is increased, particularly for vulnerable and marginalized groups, including minorities, and discrimination, exclusion and other drivers of fragility are reduced and addressed.	3.4, 4.2	Programme Support	5.1 Support countries with development and implementation of local-level programmes to increase access to justice and legal aid, and reduce discrimination and/or other drivers of fragility	Alejandro Alvarez	All RoLJSHR		Activity 1	\$100,000	\$900,000
			5.2 Support strategies for localizing and reporting on SDG 16 at global, regional and country level	Alejandro Alvarez	Djordje Djordjevic Aparna Basnayak			\$445,000	
			5.3 Regional support to access to justice initiatives	Alejandro Alvarez	Regional Hubs			\$550,000	
		Policy Support	5.4 Support to finalization and rollout of Guidance Note on Social and Environmental Standards on Human Rights, Indigenous People, and Displacement, respectively	Ana Graca	Sarah Rattray Antje Kraft		Activities 2, 4		\$100,000
			5.5 With IASG on Indigenous People, support rollout of the System-Wide Action Plan on Indigenous Populations	Ana Graca	Antje Kraft			\$100,000	

			5.6 Support advocacy strategies for SDG 16, including through the Global Alliance on Reporting Progress on Peaceful and Inclusive Societies	Alejandro Alvarez	Aparna Basnayak Chelsea Shelton	IC (6 months 2016) to cover Global Alliance, and other events and publications		\$90,000	\$35,000	
			5.7 Support legal aid awareness and advocacy through various events, global studies, and publications	Ana Graca	Aparna Basnayak Evelyn Edroma Shaima Hussein			\$150,000		
			5.8 Support response to displacement challenge including through co-chairing of Solutions Alliance, including support to SG Guidance Note and learning tool development	Ana Graca	Shaima Hussein			\$30,000		
								Funded Sub Total	\$490,000	
								TBM Sub Total		\$2,010,000
								OUTPUT SUB TOTAL	\$2,500,000	
Output 6: Transitional justice processes are promoted in conflict-affected contexts.	3.4, 4.2	Programme Support	6.1 Support programme development to facilitate transitional justice processes and mechanism, including through support to victims, including through the GFP	Ana Graca	Djordje Djordjevic		Activities 1, 7	\$75,000	\$1,050,000	
		Policy Support	6.2 Support and advance a development approach in support of UN policy on prevention and guarantees of non-recurrence, including through completion of lessons learned project, workshops and publications	Ana Graca	Djordje Djordjevic Chris Mahoney	IC (7 months 2016) to support substantive development and finalization of policy materials; IC (4 months 2016) for administrative and operational support to related events	Activities 2, 4	\$75,000	\$300,000	
								Funded Sub Total	\$150,000	
								TBM Sub Total		\$1,350,000
								OUTPUT SUB TOTAL	\$1,500,000	
Output 7: Human rights, access to justice, and security for women are increased.	2.3, 3.4, 3.5, 4.2	Programme Support	7.1 Support programme development on combatting and responding to SGBV through the justice, security and human rights sectors, including in transitional justice processes.	Alejandro Alvarez	Evelyn Edroma		Activities 1, 7	\$30,000	\$2,501,250	
		Policy Support	7.2 Support UNDP and global policy responses to combatting SGBV.	Alejandro Alvarez	Evelyn Edroma		Activity 2		\$843,750	

								Funded Sub Total	\$30,000		
								TBM Sub Total		\$3,325,000	
								OUTPUT SUB TOTAL	\$3,375,000		
Output 8: High quality programming is assured through improved oversight, planning, monitoring and evaluation, and impact assessment.	N/A	Programme Support	8.1 Support development and roll-out of uniform M&E approach for all RoLJSHR programmes at the country level, including support to institutional/context analysis, baseline assessments, and inter-agency and system-wide planning processes (GFP, PCNA, MAPS, etc.)	Alejandro Alvarez	All RoLJSHR			Activity 1	\$125,000	\$921,240	
			8.2 Support to overall RoLJSHR Global Programme day-to-day programme management, including ATLAS support, activity tracking, results reporting, financial reporting, donor relations, partnership development, substantive support, etc.	Alejandro Alvarez	Ciara DiSeta Christi Sletten	IC (2016 3 months) to support project management, followed by FTA (DPC) to support project management				\$243,760	
		Policy Support	8.3 Support implementation and finalization of RoLJSHR Global Programme Phase 2 impact assessment	Alejandro Alvarez	Christi Sletten						\$200,000
			8.4 Support continuation of project to develop an evidence-based Theory of Change for RoLJSHR Global Programme (including field visits for research, synthesis workshop, and publication production)	Alejandro Alvarez	Christi Sletten				Activities 2, 4		
								FUNDED SUB TOTAL	\$368,760		
								TBM SUB TOTAL		\$1,131,240	
								OUTPUT SUB TOTAL	\$1,500,000		
								OVERALL FUNDED SUB TOTAL	\$2,026,360		
								OVERALL TBM SUB TOTAL	\$20,973,640		
								GRAND TOTAL	\$23,000,000		