

**PROJECT DOCUMENT**

<b>Project title</b>	Civil service reform advocacy through ethics, meritocracy and corruption prevention measures.
<b>UNDAF Outcome(s):</b>	State actors at all levels and civil society are more capable and accountable for ensuring the rights and needs of the population, particularly vulnerable groups
<b>Expected CP Outcome(s):</b> <i>(Those linked to the project and extracted from the CPAP)</i>	Central and local government operate in a more effective, transparent and accountable manner
<b>Expected Output(s):</b> <i>(Those that will result from the project and extracted from the CPAP)</i>	Improving the efficiency, transparency and accountability of central and local authorities
<b>Implementing Partner:</b>	Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption
<b>Responsible Parties:</b>	Territorial divisions of the Agency, government agencies, local executive authorities, local communities, Academy of Public Administration under the President of the Republic of Kazakhstan

**Brief description**

The project contributes to reform the civil service through a range of activities, including the study of international best practices in professional ethics, career development based on professional achievements, and prevention of corruption. The project will provide with recommendations towards improving legislative framework of civil service system as well as develop training programs and manuals on ethics, meritocracy and corruption prevention, conduct trainings for key personnel of the Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption, the Academy of Public Administration, and leadership of the ministries, departments and local executive bodies.

Implementation period of the UNDP Kazakhstan Country Program: 2010-2015	Total budget:	350 000 USD
Key Result Area (Strategic Plan): Democratic governance	Project budget for 2015	185 000 USD
Project number / Atlas award ID:	Project budget for 2016	85 000 USD
Start date: June 2015	Project budget for 2017	80 000 USD
End date: December 2017	Total budget:	350 000 USD
PAC Meeting Date:	Total resources required :	350 000 USD
Management arrangements: National Implementation	Total resources allocated :	350 000 USD
	Government of Republic of Kazakhstan	340 000 USD
	UNDP	10 000 USD

Approved by Agency of the Republic of Kazakhstan for Civil Service Affairs & Anti-Corruption:



Sayan Akhmetzhanov, Deputy Chairman

Approved by UNDP:



Munkhtuya Altangerel, Deputy Resident Representative

## I. Situation analysis

Since the first days of its independence, Kazakhstan purposefully and gradually follows the policy of establishing effective institutes and mechanisms of corruption prevention that built on international standards.

Kazakhstan has a modern anticorruption legislation based on its laws on "On Combating Corruption" and "On Civil Service". A number of program documents have been implemented as well as a special authorized body have been established to implement functions of civil service management and corruption prevention. Also anticorruption activities have been effectively delivered within international cooperation.

The established system of civil service is built on meritocracy principles where talented and professional servants occupy leading positions not depending on their social and property status, and whereas there is a clear distinction between functional responsibilities of each division and state officials.

At its previous stages of development as an independent state Kazakhstan achieved recognized results with positive tendency in the area of corruption prevention.

Kazakhstan was one the first among CIS states who adopted the law "On Combating Corruption" that defines the goals, main principles and mechanisms of corruption prevention.

Starting 2001 the state anti-corruption programs have been implemented with developing real measures to prevent ground and environment for corruption.

The existing law "On State Service" adopted in 1999 and the Code of Honor of Civil Servants approved by the President in 2005 established a platform for formation of Kazakhstan professional state apparatus, built on the principles of accountability, transparency and meritocracy. The meritocracy principle aims to select dignified personnel with consideration of professional and career achievements based on personal merits recognition.

There is a special government body with regulatory and law enforcement functions in civil service. It was established not only to regulate organization of civil service work and monitoring the work of state apparatus but also to prevent corruption and prosecute officials who committed corruption crime.

In addition to domestic reforms, Kazakhstan also demonstrates its interest to the work of international anti-corruption mechanisms. In particular, the issue of Kazakhstan's involvement in the Group of States against Corruption (GRECO), was initiated and in February 2014 Kazakhstan became a full member of the International Anti-Corruption Academy (IACA).

Due above trends the Organization for Economic Cooperation and Development recommended to Kazakhstan to develop and introduce its assessment methodology for corruption issues based on best international practices. This methodology has to be applied to both public and private sectors and include at least such components as the areas most affected by corruption, the frequency and patterns of corruption practices, subjected structure of corruption relations, and types of corruption benefits. Recommendations include a regular periodic assessments of the state of corruption in the country as well as to continue sectorial studies in some most affected by corruption areas based on this assessment methodology.

OECD recommendations also include development of a practical guide on prevention of conflict of interests with consideration of specifics of civil service bodies, introduction of consulting for civil servants in regard to compliance with the conflict of interests provisions, incompatibility

requirements and other restrictions for specific units and central bodies, and monitoring and analysis of implementation of provisions on conflict of interests at civil service.

The violation of norms and rules of professional ethics and its difference from corruption offenses has not been differentiated yet in legislation. This fact distorts the real picture of corruption risks, prevents the state's efforts from the actual directions of the corruption prevention work and leads to unjustified corruption rating of the country.

Effective implementation of the new functions of the Agency requires knowledge and experience sharing from the countries that have successfully adopted mechanisms for prevention of corruption. It is necessary to obtain information and expert support for developing normative and preventive activities against corruption, as well as conducting training and awareness raising activities for the civil servants of regional divisions of the Agency on the issues of analysis and detection of corruption risks.

It is vital to develop a modern and high quality training programs focused on best international practices of civil service, also with consideration of industry-specifics of the state bodies and professional needs of employees.

Overall project implementation should contribute to the achievement of the following objectives:

- Identify threats to the standards of ethics and integrity in the public sector. This includes analysis of legislation and existing practices to identify risks against ethical principles in performance of important functions (financial management, tendering, recruitment and promotion, dismissal and discipline, external and internal complaints procedures and compensation), as well as diversification between the Code of Ethics and conduct.
- Increase knowledge of ethics and understanding the mechanisms supporting professional ethics among civil servants. Promote competent decision-making based on ethical norms, introduction of risk management system and software to monitor performance of state structures, development of model codes of conduct for individual government agencies, trainings on application of ethical principles in management.
- Facilitate development of administrative practices and procedures that promote and adhere ethical values which results in making civil servants being a basis of democracy. This includes proposals towards changes in current legislation to support motivation of civil servants' official decisions; promotion of effective methods for assessing management (promotion based on merits, etc.) that reinforce ethical values; assist the Government in promoting the culture based on transparency, professional responsibility, self-discipline, and rule of law principles.
- Develop and support wide dissemination of detailed guidance and training materials on a number of issues including conflict prevention with consideration of specifics of work of different agencies, introduction of consulting hours for civil servants on applications of regulations on conflict of interests, incompatibility requirements and other restrictions for specific and central bodies (authorized body for anticorruption activities); develop and disseminate detailed guidance on rules towards gifts and work out recommendations on their improvement.

## **III. Strategy**

The Project provides the expert and informational support to the Agency of the Republic of Kazakhstan for Civil Service and Anti-Corruption in promotion of ethics and meritocracy in the civil service as well as prevention of corruption.

**1) Informational support to the Agency of the RK for Civil Service Affairs and Anti-Corruption in studying the best international practices in professional ethics and the protection of meritocracy in the civil service as well as in prevention of corruption.**

This project component includes activities to study international experience and existing legislation in the countries with successful civil service models.

Involvement of international experts will allow for the needs assessment and analysis of the existing situation in various priority areas specified by the Agency with the followed recommendations and identification of areas for improvement.

The Project will help to establish links with the world leading centers for training of civil servants and to work out long-term exchange programs (internships) for civil servants on bilateral and multilateral basis.

Particular interest will be focused on experience of the countries with a low level corruption rating (e.g. Australia, Denmark, Finland, Hong Kong New Zealand, Singapore) according to the survey of «Transparency International». A good example, for instance, is Singapore's Bureau for investigation of corruption cases that studies the working methods of potentially corrupted public authorities and to detects potential "weak points" in their management system. If "weak points" are identified, the Bureau recommends to specific measures to the management. In Denmark the analysis of anti-corruption policy effectiveness is based on the "integrity system" that allows to consider specifics of the national efforts to eliminate corruption. There is no anti-corruption law or special anti-corruption bodies in Finland but corruption is seen as a criminality and corruption prevention focuses on creating environment that prevents from cases for corruption.

## ***2) Assistance to the Agency of the RK for Civil Service Affairs and Anti-Corruption in improving civil service legislation on the issues of professional ethics, protection of meritocracy in the civil service and prevention of corruption.***

The project component includes measures to provide expert assistance in developing the necessary regulations on the issues of professional ethics, protection of meritocracy in the civil service as well as to identify existing corruption risks and measures for prevention of corruption.

Throughout project implementation and in the support of the government's Anti-corruption Strategy, international and national experts will be involved to participate in development of the draft law "On Corruption Prevention". Draft law must fundamentally indicate new terms of "corruption risks", "analysis of causes and conditions for corruption", "anti-corruption education", as well as secure new practical mechanisms for combating corruption, including the analysis of corruption risks. In addition, assistance to the state bodies will be provided in development of the legal acts crosscutting the issues of ethics and anti-corruption.

Within the planned research and studies the Project will help develop a system of indicators for monitoring the issues of professional ethics compliance, protection of meritocracy and prevention of corruption, which will be further used by government authorities and their territorial subdivisions.

## ***3) Capacity building through development and dissemination of practical manuals and guidelines, conducting training workshops on professional ethics, protection of meritocracy in the civil service and prevention of corruption.***

Under this component a number of training and awareness raising activities will be carried out to improve knowledge and skills of civil servants. The trainings will also contribute to enhancing the capacity of the Agency's staff in implementation of reforms and, in particular, in studying the methods of corruption risks analysis.

Advanced practices and international experience will be considered in developing programs and manuals on professional ethics, professional development and analysis of corruption risks. All training materials developed during the project implementation will be passed to the central and regional training centers of the state authorities to support regular training courses of civil servants.

Training workshops will be held in Astana (eg, in the Academy of Public Administration under the President of the Republic of Kazakhstan) and in the regions (regional workshops, trainings, conferences, including trainings with the support of the regional training centers).

<b>III. Results and Resources Framework</b>				
<b>Intended Outcome as stated in the Country Programme (CPAP) Results and Resource Framework:</b> Central and local government operate in a more effective, transparent and accountable manner				
<b>Outcome indicator as stated in the Country Programme Results and Resource Framework, including baseline and targets:</b> Indicator 1.1: Number of proposals adopted to mitigate sector specific corruption risks (public procurement, healthcare, etc) Baseline: 1 Target: 3				
<b>Applicable Key Result Area (from Strategic Plan): Output 2.2.</b> Institutions and systems enabled to address awareness, prevention and enforcement of anti-corruption measures across sectors and stakeholders				
<b>Partnership Strategy:</b> The project is implemented in cooperation with the Agency for Civil Service Affairs and Anti-Corruption of the Republic of Kazakhstan. At all project stages the cooperation will also be established with other ministries and agencies, the Parliament of Kazakhstan and public organizations.				
<b>Project title and ID (ATLAS Award ID):</b> Civil service reform advocacy through ethics, meritocracy and corruption prevention measures.				
<b>Intended outputs</b>	<b>Output targets</b>	<b>Indicative activities<sup>1</sup></b>	<b>Responsible parties</b>	<b>Inputs USD</b>
<b>Output 1</b>  The level of professional ethics, motivation for professional growth and prevention of corruption practices in civil service has increased	<b>Target 1</b>  Improvement of legislation on professional ethics, meritocracy and prevention of corruption in civil service, including through experience exchange  <u>Baseline:</u> Lack of regulatory documents on professional ethics, meritocracy and prevention of corruption  <u>Indicator 1:</u> Regulations on professional ethics of civil servants have been improved and meritocracy principles put in place by 2018  <u>Indicator 2:</u> Legislation on corruption prevention in civil service have been improved	<b>1. Activity Result</b>  The best international practices of professional ethics, protection of meritocracy and development of normative documents regulating professional ethics and minimizing opportunities for corruption has been studied  ▪ <b>Activity 1:</b> Analysis of international experience in professional ethics, protection of meritocracy and prevention of corruption in civil service  ▪ <b>Activity 2:</b> Study tour to learn best international practices of professional ethics, meritocracy and corruption prevention (2 countries)  ▪ <b>Activity 3:</b> Development of recommendations towards legislation regulating professional ethics, principles of meritocracy and corruption prevention measures	UNDP  Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti- Corruption  Territorial divisions of the Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption	Tied grant  235,000

<sup>1</sup> The activities of the Annual Work Plan are subject to the revision upon agreement between UNDP and the Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption in the context of the changing national priorities.



<b>Total:</b>	<b>350 000</b>
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**VI. ANNUAL WORK PLAN**

**Year 1: 2015**

Expected outputs <i>And baseline, indicators including annual targets</i>	Planned activities <i>List activity results and associated actions</i>	Timeframe				Responsible party	Planned budget				
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount, USD		
<p><b>Output 1</b></p> <p>The level of professional ethics, motivation for professional growth and prevention of corruption practices in civil service has increased</p> <p><b>Target 1</b> Improvement of legislation on professional ethics, meritocracy and prevention of corruption in civil service, including through experience exchange</p> <p><b>Baseline:</b> Lack of regulatory documents on professional ethics, meritocracy and prevention of corruption</p> <p><b>Indicator 1:</b> Regulations on professional ethics of civil servants have been improved and meritocracy principles put in place by 2018</p> <p><b>Indicator 2:</b> Legislation on corruption prevention in civil service have been improved</p>	<p><b>1. Activity Result</b></p> <p>The best international practices of professional ethics, protection of meritocracy and development of normative documents regulating professional ethics and minimizing opportunities for corruption has been studied</p> <ul style="list-style-type: none"> <li>▪ Activity 1: Analysis of international experience in professional ethics, protection of meritocracy and prevention of corruption in civil service.</li> <li>▪ Activity 2: Study tour to learn best international practices of professional ethics, meritocracy and corruption prevention (2 countries).</li> <li>▪ Activity 3: Development of recommendations towards legislation regulating professional ethics, principles of meritocracy and corruption prevention measures.</li> </ul>					UNDP  Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption	Tied grant	Research	<b>40,000</b>		
		71300 Consultants	30,000								
		72500 Publications	5,000								
		74200 Translation services	5,000								
		Study tour	<b>45,000</b>								
		71600 Transportation services	19,000								
		71600 Daily allowance for participants	21,000								
		74200 Translation services	5,000								
		Development of recommendations	<b>39,150</b>								
		71300 Consultants	15,000								
		72100 Contracts with companies	20,000								
		72500 Publications	3,000								
		74500 Miscellaneous	1,150								
									Tied grant	Researches	<b>20,000</b>
										72100 Contracts with companies	18,000
						72500 Publications	2,000				
						Workshops	<b>18,600</b>				
						71600 Transportation services	6,000				
	<p><b>2. Activity Result</b></p> <p>Civil service managers and civil servants have specific knowledge and skills required for development of professional ethics and corruption prevention</p> <p>Activity 1:</p>					UNDP  Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption	Tied grant				

<p><b>Target 2</b> Strengthening the institutional capacity for training of civil service management and civil servants on professional ethics, meritocracy and corruption prevention</p> <p><b>Baseline:</b> Management staff of civil service and civil servants do not systematically receive specialized training on ethics, meritocracy and prevention of corruption</p> <p><b>Indicator 1:</b> Training programs and manuals on professional ethics, meritocracy and analysis of corruption risks are developed</p> <p><b>Indicator 2:</b> By 2018 at least 120 civil servants representing different regions received training on professional ethics, meritocracy and corruption prevention</p> <p><b>Indicator 3:</b> By 2018 the number of precedents of corruption in civil service gets reduced</p>	<p>Development of the system of indicators for monitoring professional ethics, protection of meritocracy and corruption prevention</p> <p>Activity 2: Development of training programs and manuals for training on professional ethics, meritocracy and corruption prevention.</p> <p>Activity 3: Training seminars for managers and staff of the civil service on ethics meritocracy and corruption prevention.</p>			X					7600 Daily allowance for participants	5,000
				X	X				72100 Contracts with the companies	4,000
									71300 Consultants	2,000
									72500 Publications	1,600
									<b>75100 Administrative expenses (GMS 7%)</b>	<b>12,250</b>
	3 Activity result Effective Project Management						UNDP	<b>Administrative support</b>	10,000	
	▪ Administrative support		X	X	X			71400 Project manager	10,000	
<b>Total:</b>										<b>185,000</b>



**Год 2: 2016**

Expected outputs <i>As well as baseline data, indicators, including annual tasks</i>	Planned activities <i>The list of event results and related activities</i>	Timeframe				Responsible party	Planned budget		
		Q1	Q2	Q3	Q4		Funding Source	Budget description	Amount USD
<p><b>Output 1</b></p> <p>The level of professional ethics, motivation for professional growth and prevention of corruption practices in civil service has increased</p> <p><b>Target 1</b> Improvement of legislation on professional ethics, meritocracy and prevention of corruption in civil service, including through experience exchange</p> <p><b>Baseline:</b> Lack of regulatory documents on professional ethics, meritocracy and prevention of corruption</p> <p><b>Indicator 1:</b> Regulations on professional ethics of civil servants have been improved and meritocracy principles put in place by 2018</p> <p><b>Indicator 2:</b> Legislation on corruption prevention in civil service have been improved</p> <p><b>Target 2</b> Strengthening the institutional capacity for training of civil service management and civil servants on</p>	<p>1. Activity Result</p> <p>The best international practices of professional ethics, protection of meritocracy and development of normative documents regulating professional ethics and minimizing opportunities for corruption has been studied</p> <ul style="list-style-type: none"> <li>▪ Activity 1: Analysis of international experience in professional ethics, protection of meritocracy and prevention of corruption in civil service.</li> <li>▪ Activity 2: Development of recommendations towards legislation regulating professional ethics, principles of meritocracy and corruption prevention measures.</li> </ul>					UNDP  Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption	Tied grant	Research	<b>10,000</b>
		71300 Consultants	8,000						
		74200 Translation services	2,000						
		Development of recommendations	<b>25,000</b>						
		71300 Consultants	10,000						
		72100 Contracts with companies	10,000						
		72500 Publications	4,000						
		74500 Miscellaneous	1,000						
					UNDP  Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption	Tied grant	Research	<b>17,550</b>	
<p>1. Activity Result</p> <p>Civil service managers and civil servants have specific knowledge and skills required for development of professional ethics and corruption prevention</p>							72100 Contracts with companies	10,000	
							71300 Consultants	7,000	
							74500 Miscellaneous	550	
							Workshops	<b>16,500</b>	

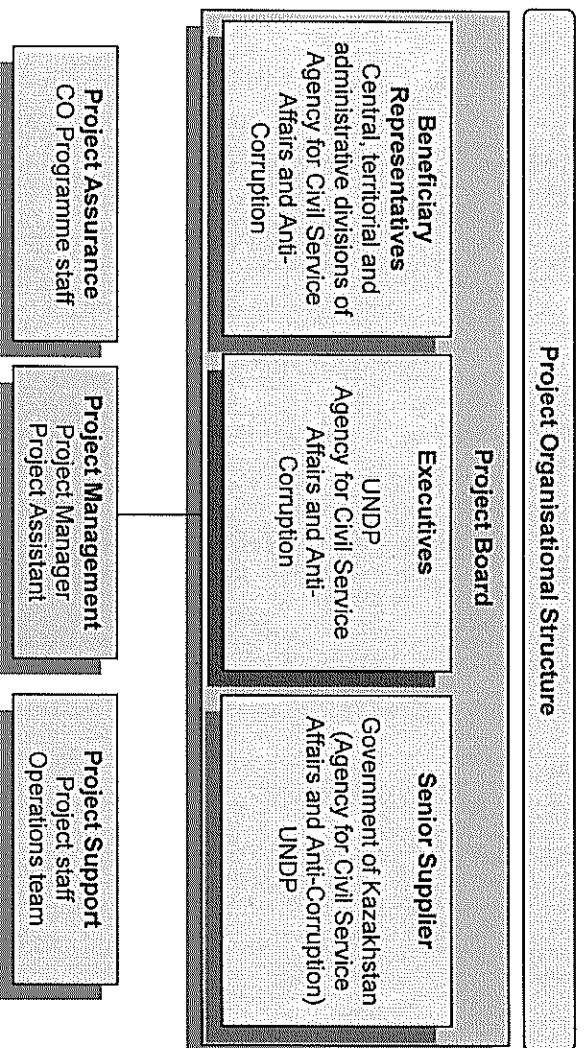
<p>professional ethics, meritocracy and corruption prevention</p> <p><b>Baseline:</b> Management staff of civil service and civil servants do not have systematic and specialized training on ethics, meritocracy and prevention of corruption.</p> <p><b>Indicator 1:</b> The programs and manuals to improve professional ethics and the analysis of corruption risks are developed.</p> <p><b>Indicator 2:</b> By 2018 at least 120 civil servants representing different regions received training on professional ethics and corruption prevention.</p> <p><b>Indicator 3:</b> By 2018 the number of precedents of corruption in civil service gets reduced.</p>	<p>Activity 1: Development of the system of indicators for monitoring professional ethics, protection of meritocracy and corruption prevention</p> <p>Activity 2: Development of training programs and manuals for training on professional ethics, meritocracy and corruption prevention.</p> <p>Activity 3: Training seminars for managers and staff of the civil service on ethics, meritocracy and corruption prevention.</p>		X	X				71600 Transportation of participants	7,000
								7600 Daily allowance for participants	6,500
				X	X			71300 Consultants	3,000
								<b>Administrative expenses (GMS 7%)</b>	<b>5,950</b>
	<p>3 Activity result Effective Project Management</p> <p>▪ Administrative support</p>					UNDP	Tied grant	<b>Administrative support</b>	10,000
			X	X	X	Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption		71400 Project Manager	10,000
<b>Total:</b>									<b>85,000</b>

**Год 3: 2017**

Expected outputs <i>As well as baseline data, indicators, including annual tasks</i>	Planned activities <i>The list of event results and related activities</i>	Timeframe				Responsible party	Planned budget		
		Q1	Q2	Q3	4		Funding Source	Budget description	Amount USD
<p><b>Output 1</b></p> <p>The level of professional ethics, motivation for professional growth and prevention of corruption practices in civil service has increased</p> <p><b>Target 1</b> Improvement of legislation on professional ethics, meritocracy and prevention of corruption in civil service, including through experience exchange</p> <p><b>Baseline:</b> Lack of regulatory documents on professional ethics, meritocracy and prevention of corruption</p> <p><b>Indicator 1:</b> Regulations on professional ethics of civil servants have been improved and meritocracy principles put in place by 2018</p> <p><b>Indicator 2:</b> Legislation on corruption prevention in civil service have been improved</p> <p><b>Target 2</b> Strengthening the institutional</p>	<p>1. Activity Result</p> <p>The best international practices of professional ethics, protection of meritocracy and development of normative documents regulating professional ethics and minimizing opportunities for corruption has been studied</p> <ul style="list-style-type: none"> <li>▪ Activity 1: Analysis of international experience in professional ethics, protection of meritocracy and prevention of corruption in civil service</li> <li>▪ Activity 2: Development of recommendations towards legislation regulating professional ethics, principles of meritocracy and corruption prevention measures.</li> </ul>					<p>UNDP</p> <p>Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption</p>	Tied grant	<i>Research</i>	<b>10,000</b>
								71300 Consultants	8,000
								74200 Translation services	2,000
								<i>Development of recommendations</i>	<b>20,000</b>
								71300 Consultants	8,000
								72100 Contracts with companies	7,000
								72500 Publications	3,000
								74500 Miscellaneous	2,000
	<p>1. Activity Result</p> <p>Civil service managers and civil servants have specific knowledge and skills required for development of professional ethics and corruption prevention</p> <p>Activity 1: Development of the system of indicators for monitoring professional ethics, protection of meritocracy and corruption prevention</p> <p>Activity 2: Development of training programs and manuals for</p>					<p>UNDP</p> <p>Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption</p>	Tied grant	<i>Research</i>	<b>14,600</b>
								72100 Contracts with companies	7,000
								71300 Consultants	6,000
								74500 Miscellaneous	1,600
								<i>Workshops</i>	<b>16,300</b>
								71600 Transportation services for participants	7,000

<p>capacity for training of civil service management and civil servants on professional ethics, meritocracy and corruption prevention</p> <p><b>Baseline:</b> Management staff of civil service and civil servants do not systematically receive specialized training on ethics, meritocracy and prevention of corruption</p> <p><b>Indicator 1:</b> Training programs and manuals on professional ethics, meritocracy and analysis of corruption risks are developed</p> <p><b>Indicator 2:</b> By 2018 at least 120 civil servants representing different regions received training on professional ethics, meritocracy and corruption prevention</p> <p><b>Indicator 3:</b> By 2018 the number of precedents of corruption in civil service gets reduced</p>	<p>training on professional ethics, meritocracy and corruption prevention</p> <p>Activity 3: Training seminars for managers and staff of the civil service on ethics, meritocracy and corruption prevention</p>	X	X	X	X			7600 Daily allowance for participants	7,300	
								71300 Consultants	2,000	
									<b>75100 Administrative expenses (GMS 7%)</b>	<b>5,600</b>
	<p>3 Activity result Effective Project Management</p> <p>Administrative support</p>	X	X	X	X	UNDP Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption	Tied grant	<b>Administrative support</b>	13,500	
								71400 Project Manager	10,000	
								74100 Miscellaneous	3500	
<b>Total:</b>									<b>80,000</b>	

## V. PROJECT MANAGEMENT



The Project is a joint initiative of the Agency of the Republic of Kazakhstan for Civil Services Affairs and Anti-Corruption and UNDP. The National executive agency under the Project will be the Agency of the Republic of Kazakhstan for Civil Services Affairs and Anti-Corruption, which will ensure participation of the stakeholders through the Project Board (PB) and other mechanisms. The Agency will appoint a National Project Director who will act as a link between the Agency and the Project and perform monitoring functions.

In order to ensure UNDP's ultimate accountability, a Project Board is established to support the Project Implementation Unit (PIU). PIU's activities will be carried out in accordance with the UNDP corporate policies and standards, in order to ensure the best value for money, fairness, and transparency. The Project Board is responsible for conducting regular reviews of the project implementation progress, approving annual work plans, and making appropriate decisions in case of deviations from the agreed work plans, including the cases when the changes in name and content of activities are required. The Project Board consists of three inter-related parties: Beneficiary, Supplier, and Executive.

The Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption will be the implementing partner and serve as the Project Director and Executive partner in the Project Board. The project activities will be implemented according to the UNDP corporate policies and procedures for national implementation (NIM) as stipulated in Programme and Operations Policies and Procedures (POPP).

The structure of the Project Board:

- **Beneficiary Representatives:** All activities, products and services of within the Project will be geared towards beneficiaries of the project, comprising of individuals and institutions in Kazakhstan. The needs and demands of the beneficiaries will be reflected during Project Board meetings. Annual work plans will also reflect priorities set by the beneficiaries.
- **Senior Supplier:** senior suppliers are institutions that provide financial resources and/or technical expertise to the project. For this project, the functions of senior suppliers will be carried out by the Agency of the Republic of Kazakhstan for Civil Services Affairs and Anti-Corruption (ACSAC), through which the financial resources for the project are channelled. UNDP as the main supplier will provide the technical expertise and continuous financial oversight.
- **Executive:** The Executive is responsible for the ultimate project compliance: UNDP, as the main executive of the project, will oversee the effective implementation of the Project

activities, ensuring that all intended outcomes/outputs are delivered. UNDP will carry out the following functions as the Executive:

- a. Ensure that all activities are carried out in accordance with UNDP rules, regulations and processes;
- b. Endorse the project's annual reports on the progress made towards intended outputs;
- c. Provide technical support to the programmatic activities, including best practices and knowledge available to UNDP globally and regionally;
- d. Ensure that the project activities fit within the overall Country Programme Document;
- e. Provide operational and administrative support services to ensure efficient business processes, including establishing project assurance and project support mechanisms;
- f. Facilitate official correspondence and communications with the Senior Supplier, the Government of Kazakhstan, state agencies and partners.

For Project implementation the Project Implementation Unit will be established (hereinafter - PIU) the structure of which will include the project manager and assistant on administrative and financial questions. In addition, highly qualified experts or companies will be selected on a competitive basis under individual contracts for participation in accordance with specific TORs.

The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The final decision on the selection of the Project Manager, who will serve under an international contract, will be made by UNDP, and the supervision of the Project Manager will be by UNDP.

#### **Partnership Information:**

Organization: United Nations Development Program in Kazakhstan  
Address: 26 Bukel Khan Str., Astana, Kazakhstan  
Phone/Fax: +7 7172 59 25 50, +7 7172 592540  
Web site: [www.undp.kz](http://www.undp.kz)

UNDP Focal Point:: Murat Narkulov  
Position: Programme Specialist of Governance and Local Development Unit UNDP  
Tel: +7 7172 592550  
E-mail: [murat.narkulov@undp.org](mailto:murat.narkulov@undp.org)

Organization: Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption  
Address: Seifullina str. 37, Astana, Kazakhstan  
Tel: +7 (7172) 909260

Focal Point: Adi Galymzhan  
Position: Deputy Director, Department of Civil Service and Corruption Prevention  
Телефон / Факс: +  
Әл. нұқта:

#### **VI. MONITORING FRAMEWORK AND EVALUATION**

The project will be subject to monitoring by UNDP office, in accordance with the UNDP program rules and monitoring / evaluation procedures:

##### Within the annual cycle

- Quarterly, a qualitative assessment for the project progress in terms of the key results achieved based on a key criteria matrix and the method specified in the quality criteria table.

- The project manager will activate the matrix of issues in the ATLAS system and update it as potential problems or requests arise and are resolved in the project.
- Based on the above information in the Atlas system, a project progress report will be prepared and submitted by the Project Manager to the Project Management Committee.
- The Project Manager will activate and update a matrix of the "lessons learnt". At the end of the project, a report on the "lessons learnt" of the project will be prepared.
- The monitoring plan will be activated in Atlas and updated in accordance with the main events / management activities.

#### Annually

- **Annual Overview Report.** It will be prepared by the Project Manager and submitted to the Project Management Committee.
- **Annual Project Overview.** Based on the above report, the Annual Project Overview will be prepared during or after Quarter IV of the year in question to assess the project activities and annual working plan for next year. Such review is conducted by the Project Management Committee, and may include other stakeholders upon request.

In addition, the following monitoring tools will be used:

- Quarterly and annual progress reports;
- Visits of a representative of the UNDP Kazakhstan Efficient Management and Regional Development Department, including visits to the project sites;
- The Project Management Committee will meet at least twice a year;
- Review the workshop evaluation forms.

#### Audit Clause

The project will be audited in accordance with UNDP Financial Regulations and Rules and Audit policies.

## Quality Management for Project Activity Results

<p><b>Output1:</b> Increase of professional ethics, motivation, professional development and the prevention of corrupt practices in the public service.</p>			
<p><b>Activity Result1</b></p>	<p>Study of best international practices on professional ethics and protection of meritocracy and development regulations on professional ethics and minimizing opportunities for corruption.</p>	<p>Start date: May 2015 End date: December 2017</p>	
<p><b>Purpose</b></p>	<p>Improvement of legislation on professional ethics, meritocracy and corruption prevention in civil service.</p> <p>Planned activities to achieve this goal:</p>		
<p><b>Description</b></p>	<ol style="list-style-type: none"> <li>1. Analysis of international experience in the field of professional ethics, protection of meritocracy and corruption prevention.</li> <li>2. Study tour to explore the best international practice of professional ethics, meritocracy and prevent corruption.</li> <li>3. Development of recommendations towards legislation regulating professional ethics, principles of meritocracy and corruption prevention measures.</li> </ol>		
<p><b>Quality Criteria</b></p>	<p>1. The number of analytical studies and research during the project at least 3. 2. The objectives of the study tour agreed to by all participants 3. The level of knowledge of participants before and after the trip 4. Feedback from participants on the visit (survey) 5. The extent to which new knowledge and expertise 6. The experts' recommendations on regulatory documents</p>	<p><b>Quality Method</b></p> <ul style="list-style-type: none"> <li>• Specifications for the Expert</li> <li>• Reports and recommendations on expert research.</li> <li>• The program and list of participants of the study tour</li> <li>• The survey participants after the trip and analysis of evaluation forms</li> <li>• Assessing the impact of the study visit for further work</li> <li>• Recommendations towards changes in legislation and the introduction of regulatory standards</li> </ul>	<p><b>Assessment Date</b></p> <p>May 2015 – December 2017</p>
<p><b>Output1:</b> Increase of professional ethics, motivation, professional development and prevention of corruption practices in the civil service..</p>			
<p><b>Activity result 2</b></p>	<p>Civil service managers and civil servants have specific knowledge and skills required for the development of professional ethics and corruption prevention.</p>	<p>Start date: May 2015 End date: December 2017</p>	
<p><b>Purpose</b></p>	<p>Strengthening the institutional framework for the training of leaders and civil service employees on professional ethics, meritocracy and corruption prevention.</p> <p>Planned activities to achieve this goal:</p>		
<p><b>Description</b></p>	<ol style="list-style-type: none"> <li>1. Activity 1: Development of the system of indicators for monitoring professional ethics, protection of meritocracy and corruption prevention</li> <li>Activity 2: Development of training programs and manuals for training on professional ethics, meritocracy and corruption prevention.</li> <li>Activity 3: Training seminars for managers and staff of the civil service on ethics meritocracy and corruption prevention.</li> </ol>		



Quality Assessment Criteria	Quality Assessment Method	Assessment Date
<ol style="list-style-type: none"> <li>1. Presence of system of indicators for monitoring</li> <li>2. The number of training programs designed at least 3</li> <li>3. Number of employees trained at least 120</li> </ol>	<ul style="list-style-type: none"> <li>• TORs for the experts</li> <li>• Training seminar agenda and list of participants</li> <li>• Questionnaires and feedback from participants of training seminars</li> <li>• Agenda and list of participants of the regional round tables</li> <li>• Resolution and concluding remarks of the round tables</li> <li>• Press release, media and Internet articles</li> </ul>	May 2015 r. – December 2017 r.

**Output 1:** Increase of professional ethics, motivation for professional growth and prevention of corruption practices in civil service.

<b>Activity Result 3</b>		Effective project management	Start Date: May 2015 End date: December 2017
<b>Purpose</b>	Effective project management and implementation		
<b>Description</b>	Planned activities to achieve the target: <ol style="list-style-type: none"> <li>1. Formation of the organizational structure of the Project, including the Project Board</li> <li>2. Appoint the Project Manager and Assistant</li> <li>3. Conduct regular meetings of the Project Board</li> <li>4. Provide effective daily management, monitoring and risk management of the project</li> <li>5. Timely report on the project</li> </ol>		
<b>Quality Assessment Criteria</b>	<b>Quality Assessment Method</b>	<b>Assessment Date</b>	
<ol style="list-style-type: none"> <li>1. The organizational structure of the project, the Project Board</li> <li>2. The number of meetings of the Project Board</li> <li>3. Appointment of the Project Manager</li> <li>4. Proposals of the parties involved in the planning and implementation of the project</li> <li>5. Regular updating of the risk log, effective risk management</li> <li>6. Implementation of the project in accordance with the annual Work plan</li> <li>7. Efficient management of project resources</li> </ol>	<ul style="list-style-type: none"> <li>• Minutes and reports of meetings of the Project Board</li> <li>• Report of the selection panel on appointment of the Project Manager and the Project Assistant</li> <li>• Risk log</li> <li>• Project annual Work plan and reports on the annual budget revision</li> <li>• The financial and content reports</li> </ul>	May 2015 - December 2017	

## **VII. LEGAL CONTEXT**

This document, together with the Standard Agreement between the Government of the Republic of Kazakhstan and UNDP on support from UNDP to execution of the project nationwide, is governed by the relevant articles of the Standard Agreement. In accordance with Article III of the Standard Agreement, the responsibility for maintenance and safety of the Executive Partner, its personnel and property, and property of UNDP, lies on the Executive Partner.

The Executive Partner shall:

- a) Have and adhere to an appropriate security plan taking into account the situation in the country where the project is implemented;
- b) Have in mind all the risks and probabilities associated with the safety of the Executive Partner, and full implementation of the security plan.

UNDP has the right to make sure that such plan exists, and suggest modifications to the plan, if necessary. Non-compliance or absence of such security plan means a breach of this agreement.

UNDP is committed to make its best to assure proper use of the funds under this Project Document, and that the funds will not be used for individuals or organizations associated with terrorism, and that the recipients of these funds are not indicated in the lists issued by the Security Council Committee under Resolution 1267 (1999). Such lists are at <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This article must be included in all sub-contracts or sub-agreements, included in this Project Document.

The present Project Document is made in two copies in English and Russian languages. In case of inconsistencies between the two versions, the English version shall prevail.

## **VIII. APPENDIXES**

**APPENDIX 1: Risk Log**

**APPENDIX 2: Communication and Monitoring Plan**

**APPENDIX 3: Terms of Reference for the Project Manager**

**APPENDIX 4: Description of UNDP Country Office Support Services**

APPENDIX 1. Risk log

No.	Description	Degree of Impact and Probability	Risk Mitigation Measures / Managerial Response	Date of Establishment	Last Update	Status
1	Political reshuffles and staff changes in the Supreme Court	P – Average P - High	Engagement of a wider range of partners and responsible entities within Project activities, alignment of project targets with country's programmatic and strategic goals; ensuring ownership of project results and continuity within the Supreme Court and at local level courts			
2	Expert recommendations are not fulfilled	I – High P –Average	Development of recommendations in close collaboration and consultation with local stakeholders; recruitment of the most qualified experts including from the UNDP roster and other UN agencies' rosters; development of ToRs in co-operation with relevant stakeholders in the Supreme Court; discussion of findings within the Working Group			
3	Duplication or mismatch with the other similar initiatives of donor organisations and state bodies	I – Average P - High	Regular coordination and donor meetings with international and national partners working in the area of justice			
4	Changes in project managements and as a result delays in project implementation	I – High P - Low	Adherence to the UNDP recruitment procedures and HR rules; coordination and monitoring of the project by the UNDP Governance Unit			

## APPENDIX 2: Communication and Monitoring Plan

Action Type	Parties Involved	Due Dates	Completion	Status
Quarterly project progress reports	Project Manager	Quarterly		
Quarterly overview report and update of the project work plan	Project Manager	Quarterly		
The Project Board meetings, conducted every six months or at least annually	The Project Board	December 2015, December 2016, DeKa6pb 2017		
Annual project progress review	The Project Board	December 2015, December 2016, DeKa6pb 2017.		
Annual project progress report	Project Manager	December 2015, December 2016, DeKa6pb 2017		
Project monitoring on site	UNDP Program staff	Each project activity		
Annual procurement plan	Project Manager	June 2015, February 2016, February 2017		
Annual inventory	Project Manager	Annually		
Transfer of assets	Project Manager	At the end of project		
The session on the final review of the project results	Project Manager, The Project Management Committee	At the end of project, December 2017		

## APPENDIX 3: Terms of Reference for the Project Manager

### Terms of Reference (ToR) Project Manager

Position:	Project Manager
Project:	Civil service reform advocacy through ethics, meritocracy and corruption prevention measures
Subdivision:	Governance and Local Development Unit
Type of contract:	Service Contract
Level:	SB -XXX
Supervisor:	Head of Governance and Local Development Unit
Number of positions:	1
Duration:	1 year (renewable)
Work Location:	Astana

#### **Brief Information:**

The aim of the Project is to enhance Kazakhstan's judiciary and better access to justice for all by promoting transparency and public oversight of the court system. Through series of education activities, the project will increase awareness of judges on judicial ethics, international principles and best practices. By conducting nation-wide opinion surveys, the project will contribute to the establishment of direct routes for feedback for the court users and will promote measures for improvement of justice administration at local levels. The project will also stimulate better synergies of an on-going national reform on public administration assessment and public services in all branches of state power.

#### **Duties and Responsibilities:**

Under the general supervision of the Head of Governance and Local Development Unit, and under the guidance of the Program analyst, the Project Manager is responsible for providing high quality project management. The Project Manager shall provide:

- Project and Financial Control
- Support in resource mobilization
- Advocacy and Coordination

The functions of the Project Manager also includes the following:

#### Project and Financial Control:

- Preparation and upgrade of work plans and budgets;
- Supervision of international and local consultants and review of their performance in accordance with the UNDP rules and procedures;
- Management of funds allocations, timely payments in accordance with the UNDP rules and procedures
- Preparation of procurement plans, control of procurement and logistics for the project
- Monitoring and analysis of the project, use of applicable risk management tools, development of recommendations for timely adjustment of strategies and actions;
- Submission of periodic subject-focused and financial reports for approval to the Project Board and donors;
- Submission of regular project progress reports to the Program analyst of the UNDP Governance and Local Development Unit
- Compliance with security regulations and making project consultants comply with safety regulations.

Resource Mobilization Support:

- Creation and further development of contacts and cooperation with relevant UN agencies, governmental agencies, development of bilateral and multilateral relations with donors, private sector, civil society in the field of legal reform and judicial authorities for the strategic goals of UNDP, country needs and donor priorities;
- Search for information on donors and exchange of information on opportunities for resource mobilization with the Program analyst;
- Development of the best practices within the framework of the project and their application in a broad management strategy of UNDP;

Advocacy and Coordination:

- Support and coordination of the participation of all national and international partners and stakeholders at various stages of project planning and implementation;
- Support of regular communications and coordination with donors and partners of the project, development and support of effective mechanisms of integration;
- Advice on the issues related to the rule of law to the UNDP team and other expert communities.

Qualification Requirements:

- Education in the field of law, political science, social sciences or other related fields;
- Minimum 5 years' experience in development programs with a priority to human development;
- Knowledge of the socio-political context of the country and hands-on experience in the field of justice and the rule of law;
- Ability to work in an environment involving interaction and collaboration with multiple stakeholders, including representatives of governments, donors and other partners;
- Ability to work under time and tasks pressure, handling multiple tasks simultaneously
- Excellent knowledge of Kazakh, English and Russian languages (written and oral).

Additional Qualities:

- Knowledge of policy and programme framework of the UN / UNDP and previous work experience within the UN system.

**STANDARD LETTER OF AGREEMENT  
BETWEEN UNDP AND THE AGENCY OF THE REPUBLIC OF KAZAKHSTAN  
FOR CIVIL SERVICE AND ANTI-CORRUPTION  
FOR THE PROVISION OF SUPPORT SERVICES**

1. Reference is made to consultations between officials of the Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption (hereinafter referred to as "Agency") and officials of UNDP Kazakhstan hereinafter referred to as UNDP with respect to the provision of support services by the UNDP Kazakhstan country office for nationally managed project "Expert support for establishment in Kazakhstan of the national ODA system" (Hereinafter referred to as Project). UNDP and the Ministry hereby agree that the UNDP country office may provide such support services at the request of the Ministry through its institution designated in the relevant project document, as described below.
2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Agency designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP country office will provide, at the request of the designated institution, the following support services for the activities of the project:
  - a) identification and facilitation of training activities;
  - b) procurement of goods and services;
  - c) other services upon agreement
4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures, which will also be in coordination with the Agency. If the requirements for support services by the country office change during the life of a project the annex 4 to the project document is revised with the mutual agreement of the UNDP resident representative and the Agency.
5. The relevant provisions of the Standard basic agreement between UNDP and the Government of Kazakhstan signed on October 4, 1993 (the "SBAA"), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed project through the Agency as its designated institution.
6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office, in accordance with this letter, shall be handled pursuant to the relevant provisions of the SBAA.
7. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.
8. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.
9. Signature of the present Project Document, to which Appendix 4 is making an integral part, shall constitute an agreement with the provisions set forth above, as well as it shall constitute an agreement between the Agency and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed projects.