



Ref: UNDP/RR/2020-428

23 December 2020

Dear U Than Aung Kyaw,

**Project Document Revision of UNDP's
Support to Effective and Responsive Institutions Project**

UNDP presents its compliments to Foreign Economic Relations Department (FERD) and the Ministry of Investment and Foreign Economic Relations (MIFER).

Reference is made to UNDP's ***Support to Effective and Responsive Institutions Project (SERIP)*** that was signed by U Tun Tun Naing, Permanent Secretary, Ministry of Planning and Finance, in his capacity as the delegated government official on 22 March 2018. This letter is to kindly inform and update MIFER and FERD that the SERIP Project Board approved a few minor revisions to the SERIP project document that do not constitute a project change of scope.

The Project Board, which is a decision-making body and responsible for providing overall strategic guidance and direction to the project, realized the need to make adjustments in the project document particularly to ensure that it is aligned with Myanmar Sustainable Development Plan (MSDP). The proposed revision in the project document was shared in the project board meeting held in July 2020 (meeting minutes enclosed).

The revised project document includes three primary revisions including 1) introduction of the Myanmar Sustainable Development Plan (MSDP) and support to institutional strengthening and technical assistance in the implementation of the MSDP and its mainstreaming into the Government's policy framework, at the time of the development of the SERIP project, the MSDP was not formulated and approved by the Government of Myanmar, 2) the geographical scope focus areas were reduced to four States and Regions rather than five, and 3) the multi-year project budget was reduced from US\$ 56,490,019 to US\$ 36,043,728 to adapt to a more realistic funding availability.

The revised document was shared with project board members in advance of the project board meeting held in December 2019 and the proposed revisions were discussed and approved (meeting minutes enclosed). UNDP provided additional time to receive comments from the board members in advance of the next project board meeting in October 2020. No further comments were received, and the proposed revisions were considered final as of October 2020. (Project Board Minutes October 2020 attached).

.../2

U Than Aung Kyaw

Director General

Foreign Economic Relations Department

Ministry of Investment and Foreign Economic Relations

We therefore are pleased to share with you a copy of the revised project document for your record and there is no action required from FERD.

I look forward to continued collaboration with your department.

Yours sincerely,



Dawn Del Rio
Resident Representative, a.i.

Enclosed:

- i. Revised Project Document*
- ii. Project Board meeting minutes
-July and December 2019
-October 2020*

PROJECT DOCUMENT

Myanmar

Project Title: Support to Effective & Responsive Institutions Project (SERIP) .

Project Number:

Implementing Partner: UNDP

Start Date: 01/01/2018

End Date: 31/12/2022

PAC Meeting date: 14/12/2017

Brief Description

The Support to Effective and Responsive Institutions Project (SERIP) has been designed to address the limited effectiveness of the Myanmar machinery of government in developing, implementing and evaluating evidence-based and demand-driven public policies and expenditure plans which has consequences on Myanmar’s capacities to meet its poverty alleviation, social equity and environmental resilience goals. The Project is based on the assessment that, in many ways, dividends expected from the momentous triple transition set in motion in 2010 are still elusive for large swathes of the population, and in particular those made vulnerable by social marginalization, conflict and/or recurrent natural hazards.

SERIP is a 5-year initiative that aims to strengthen the effectiveness of state executive and legislative institutions in understanding the needs and aspirations of the Myanmar people, in all their diversity and in formulating, implementing and evaluating policies as well as in appropriating public resources in a way that provides effective, timely and equitable responses to these aspirations. The centrepiece of the Project’s approach is to provide dovetailed support to: (i) *core government functions* that are essential building blocks of the machinery of government, i.e. the chain of decisions and actions that are needed to make policies deliver concrete results for people’s lives; and (ii) *parliamentary processes* as Parliaments approve laws and budgets that organize a country’s public sector management system and are meant to make government more responsible and accountable. The Project is organized into 4 key intervention areas: (1) **Data for Development**; (2) **Policy Management**; (3) **Parliamentary Law-making**; (4) **Subnational Governance**, and will ensure throughout all activities, in line with principles of the Agenda 2030, the imperative of **leaving-no-one-behind** by introducing and supporting innovative and effective approaches to mainstreaming gender equality, environmental resilience and conflict-sensitivity and, more broadly, to fighting vulnerabilities. Also, with SERIP, UNDP seeks to assist government authorities shift gradually to a more decentralization system of public sector management.

The Project adopts a multi-level approach, from the Union to Township level and is area-based, as it will land its different workstreams across 4 States & Regions: Bago, Mon, Rakhine, Kachin and others where possible, In these States and Regions UNDP has a solid track-record of achievements and is a trusted partner of subnational counterparts. The key outcome-level results specific to SERIP are:

1. Evidence-based, implementable and effective policies, laws and plans gathering sufficient cross-stakeholder consensus to achieve intended results become the norm.
2. Higher levels of decentralization in public sector management make institutions more responsive to people’s needs and accountable.
3. The needs of the public, including vulnerable groups, are understood by public institutions and systematically addressed in their actions.

<p>CPD Outcome (draft): <i>All people in Myanmar live in a more peaceful and inclusive society, governed by more effective democratic and accountable institutions, and benefit from strengthened human rights, protection and rule of law.</i></p> <p>Outputs with gender marker.</p> <ol style="list-style-type: none"> 1. Governance institutions have access to accurate, comprehensive and harmonized data needed for decision-making and monitoring. (GEN2) 2. Policy formulation, implementation and monitoring at Union and S/R level is guided by strategic priorities, better coordinated and more inclusive (GEN 2). 3. Parliaments are equipped to pass robust and people-centred legislation resulting from effective policy-making and legislative proposals (GEN 2). 4. Subnational institutions have gained autonomy and skills for demand-driven and decentralized public-sector management, with emphasis on improving equitable access to services, building resilience and fostering social cohesion (GEN 2). 	Total resources required:	36.043.728	
		UNDP TRAC:	3,315,037
		Donor: Sida	3,257,225
		Donor: Australia	1,200,007
		Donor: Japan	6,428,034
		Donor: MPTF-JP	2,989,546
		Government:	
	In-Kind:		
	Unfunded:	18.853.879	

Project Revision as of 1 December 2020, the following modifications were made that do not represent a change of scope, were endorsed by the Project Board on 17 December 2019. No further comments to the proposed revisions to the project document were received following the 17 December 2019 Project Board meeting and the 2 October 2020 Project Board meeting. Therefore, the revisions below are considered final.

- To account for the introduction of the Myanmar Sustainable Development Plan (MSDP), output 2 was revised to support institutional strengthening and technical assistance in the implementation of the MSDP and its mainstreaming into the GoM's policy framework. At the time of the development of the SERIP project, the MSDP was not formulated and approved by the Government of Myanmar.
- The geographical focus areas were reduced to four States and Regions rather than five.
- The multi-year budget of the project was reduced from (enter amount) to (enter amount) adapt to the experience of implementation costs and more realistic funding availability.



.....
Dawn Del Rio
UNDP Resident Representative, a.i.

ACRONYMS

CEDAW	Convention on the elimination of all types of discrimination against women
CGF	Core Government Functions
CICS	Central Institute for Civil Service
CMO	Chief Minister's Office
CRC	Convention on the Rights of the Child
CRPD	Convention on the Rights of persons with disabilities
CSO	Central Statistical Organization
CSOs	Civil Society Organizations
DRD	Department of Rural Development
EAO	Ethnic Armed Organization
EPUM	Economic Policy of the Union of Myanmar
GAD	General Administration Department
GEC	Gender, environmental and conflict-sensitivity criteria
GoM	Government of Myanmar
IDA	Institute for Development Administration
MDA	Ministry of Development Affairs
MoG	Machinery of Government
MoNREC	Ministry of Natural Resources and Environmental Conservation
MoPF	Ministry of Planning, Finance and Industry
MoSWRR	Ministry of Social Welfare, Relief and Resettlements
MPU	Myanmar Parliamentary Union
MSDP	Myanmar Sustainable Development Plan
NEP	National Environmental Policy
NE5C	National Environmental Conservation & Climate Change Coordination Committee
NIF	National Indicator Framework
NLD	National League for Democracy
NSCC	National Statistical Coordination Committee
NSDS	National Strategy for the Development of Statistics
NSPAW	National Strategic Plan for the Advancement of Women
NSS	National Statistical System
PAPRD	Project Appraisal and Progress Reporting Department (MoPF)
PICs	Planning & Implementation Committees (present at S/R, District and Township level)
SCO	State Counsellor's Office
S/R	State / Region
S/RG	State / Region Government
TDAC	Township Development Affairs Committee
TDAO	Township Development Affairs Organization
TS	Township
UAGO	Union Attorney General's Office
UGO	Union Government Office
UCSB	Union Civil Service Board
W/VTA	Ward/Village Tract Administrator.

I. DEVELOPMENT CHALLENGE

The development challenge: the limited effectiveness of the machinery of government¹ in developing, implementing and evaluating evidence-based and demand-driven public policies and expenditure plans has consequences on Myanmar's capacities to meet its poverty alleviation, gender equality, social equity and environmental resilience goals. In many ways, dividends expected from the momentous triple transition set in motion in 2010 are becoming elusive for large swathes of the population, and in particular those made vulnerable by social marginalization, conflict and/or recurrent natural hazards.

The democratic reform initiated in Myanmar in 2011 has triggered a triple transition process, from conflict to a peace process, from military rule to a civilian-led elected government, and from a largely closed economy to an open, more sustainable market economy. This massive change in the country's governance and developmental context has created high expectations among the population, and among the international community, for rapid improvements in living conditions, freedoms and stability. Expectations have been further heightened with the arrival in power of the National League for Democracy (NLD) in 2016. Fulfilling these expectations requires from the government to be able to keep all the parts of the transition progressing together over time while not losing sight of the fact that these transitions will probably take a generation to play out.² It requires displaying intensive consultation, communication, understanding and pragmatism in deciding what priorities are and how they can be addressed in the current context; in short, it calls for **effectiveness** and **responsiveness** in setting the government's agenda and implementing it.

Considerable progress has been achieved in the country's situation since 2010, but further progress seems limited by important challenges in the government's **effectiveness** to build upon opportunities created by the triple transition process. First, if the democratization process has made great strides between 2010 and 2015, with the first truly democratic elections in the country that year, it is marked by slower progress since then³ and the media and access to information areas remain in a difficult situation.⁴ Second, the peace process launched with the National Ceasefire Agreement (NCA) in 2015 and carried further by the 21st Century Panglong Peace Conference, has not managed to prevent violence from re-occurring, with some of the worst levels of violence in decades in several regions, and has not succeeded in convincing more non-signatory Ethnic Armed Organizations (EAOs) to join. Third, on the social and economic fronts, key policy orientations have been taken by past and current governments under the forms of the Framework for Economic & Social Reforms (FESR, 2013-2015) and the NLD 12-point Economic Policy of the Union of Myanmar (EPUM, 2016). Together with the lifting of remaining international sanctions, these policies have helped maintain Myanmar's growth at a robust level since 2010 (7% in average) and have contributed to reducing poverty since 2010 to reach 19.4% in 2015, but a higher impact could have been expected during the transition period as the poverty reduction rate was already 20% during the preceding period (2004 to 2009).⁵ Also, the country's Human Development Index rank has made modest progress since 2010 (145 in 2016 against 149 in 2010).⁶ Two of its components, maternal mortality and child mortality, for example, have continued to improve but at a significantly lower pace in that period.⁷ During the same period, in spite of an Environmental Conservation Law adopted in 2012, few tangible results have been produced in slowing down environmental degradation, as shown by the unabating rate of deforestation⁸ and the country's continuing appalling record in the governance of extractive industries.⁹ With a new National Environmental Policy adopted in 2017, which took three years in developing, the Government of Myanmar (GoM) will be hard pressed to demonstrate its effectiveness in preserving and manage sustainably and transparently the country's incredible natural riches and reduce the risks posed by high exposure to climatic and disaster risks.¹⁰ Exacerbating a slowing pace of progress on the democratic, economic, social and environmental fronts, inequalities also seem to widen: poverty reduction is lagging behind in rural compared to urban areas and the highest poverty levels are still found in ethnic states,¹¹ particularly where conflict is still raging, and where climate change and disasters pose the highest risks. Overall, concerns with the actual effectiveness of government policies in steering the country

¹ The machinery of government refers to the structures of government, their functions and governance arrangements, and how they work together to deliver results to the public. (www.ssc.govt.nz)

² UNCT Myanmar. *Situation Analysis for UNDAF 2018-2022*. (Semi-Final Draft dated 1 June 2017).

³ Myanmar's Freedom House Index (1 best to 7 worst) went from 7 in 2010 to 5.5 in 2013 and only made minimal progress since then (5 in 2017).

⁴ Myanmar's ranking on the World Press Freedom Index is 131 out of 180 in 2017 (or difficult situation). Indicator SDG 16.10.2 (Public Access to Information) is also poorly rated at 0.38 in 2016 and marked by a downward trend (*SDG 16 Progress Report 2017*, Institute for Economics & Peace).

⁵ World Bank Group & Ministry of Planning and Finance. *Analysis of Poverty in Myanmar*. 2017.

⁶ UNDP. *Human Development Report 2016: Human Development for Everyone*. New York, 2017

⁷ Available at <http://hdr.undp.org/en/data/trends#> these two indicators can be selected (one at the time) for viewing and the database downloaded.

⁸ Myanmar has the world's third highest annual net loss of forest area between 2010-2015 (FAO, Global Forest Resource Assessment, 2015).

⁹ Myanmar ranks 77 out of 88 countries for the oil & gas sectors and 83 out of 89 for the mining sector on the Resource Governance Index.

¹⁰ Myanmar ranked among most affected countries on the Climate Risk Index for the period 1996 – 2015.

¹¹ UNDP. *Integrated Household Living Conditions Survey in Myanmar 2009-2010*.

in the right direction are also reflected in public perceptions, with nearly 3 times more people worried with the country's situation in just three years (from 6% to 16%), in particular for its economy (from 12% to 31%).¹²

There is no doubt that the momentous change from an autocratic regime to a multi-party civilian-led democratic system, even if still accommodating significant powers for the military, has opened an era of greater **responsiveness** of public institutions in Myanmar. With 75% of the membership of Union and State/Region (S/R) Parliaments or Hluttaws elected through direct suffrage as well as the indirect election since 2012 of Ward & Village Tract Administrators (W/VTAs), citizens have gained a stronger voice in defending their needs and interests in the shaping of public policies.¹³ However, women in general have lower representation in these institutions. Women account for only 13.6 per cent of national level parliamentary seats and 12.7% on state and region level. Policy-making has become more participatory, something that was unheard of before, and has resulted on certain occasions in more human-rights based policies, as with the new National Land Use Policy approved by the Union Hluttaw in 2016 following an extensive public consultation process. This new Policy attempts to correct serious issues arising from a series of land and investment laws passed in 2011-2012, especially in terms of equitable land access to smallholders and landless people, with consideration of customary tenure and gender equality.¹⁴ However, implementation issues remain. Since 2010, when former president U Thein Sein professed to transform the country's public administration to become people-centred, some progress has been made in terms of awareness of the concept among public servants, but the public administration remains excessively bureaucratic and opaque for citizens. The One-Stop Shops, for example, that were established in 2015 to simplify access to a range of administrative services are still far from representing a major breakthrough in bridging the gap between the public service delivery and citizens.

The GoM has issued clear statements on its vision of peace and development for the country, and in 2018 this vision was translated into the Myanmar Sustainable Development Plan (MSDP), explicitly linking Myanmar's development trajectory to achievement of the SDGs. The MSDP is the Government of Myanmar's overall vision for achieving sustainable development for Myanmar in line with the global 2030 agenda. The MSDP will provide structure and coordination of Myanmar's different ministerial and sectoral development strategies. The document is structured around three pillars and sets goals in five areas of sustainable development: peace & good governance, economic stability, job creation, human resources & social development, and natural resources & environment. The challenge for the GoM will be to operationalize the plan and to ensure it will be the basis for policy-making and the allocation of resources across the government at both Union and State/Region levels in the future. A national indicator framework has been developed and, with the creation of a project bank, the GoM has identified a modality for ensuring that public investment contributes to the achievements of the objectives of the MSDP. A fully fledged M&E framework for the MSDP remains to be developed.

A review of the 2017-2018 Union budget¹⁵ shows a mixed record in terms of matching expenditures with the most pressing development issues: if the education and health budgets have increased by a significant margin with the change of government in 2015, their combined amount is still lower than the defence budget¹⁶ and Myanmar is still far behind other ASEAN countries in terms of priority given to social development expenditures. In the same period, the share of the Union budget spent on agricultural development has decreased by nearly 8% while agriculture remains the main source of livelihoods for 75% of the population. And if environmental risks are looming heavily on the country's development path, the combined budgets allotted this sector only reaches a pale 0.77%.¹⁷ Reducing the gender gap is also a stated priority since the last government, yet the budget of the Ministry of Social Welfare, Relief and Resettlement (MoSWRR), which has the most programmes targeting women's empowerment, received just 0.38% of the government budget in 2017-2018. In this sense, the National Strategic Plan for the Advancement of Women, (NSPAW) has a number of targets that include budgetary allocations to attain the goals set in that document and also address the issues underlined by the Committee on the Elimination of Discrimination against Women in its concluding observations. The Technical Working Group on Gender Mainstreaming will be the main mechanism through which gender responsive budgeting will be piloted at Union level. Issues with the responsiveness of public institutions is also evidenced by public perceptions surveys. UNDP's Local Governance Mapping,¹⁸ 43% of respondents thought that government was unaware of their issues (and up to 74% in conflict areas), only 7%

¹² Center for Insights in Survey Research. "Survey of Myanmar Public Opinion", April 2017.

¹³ SDG Indicator 16.7.2 (Inclusive decision-making) stands at 0.72 in 2016, on an upwards trend (*SDG 16 Progress Report 2017*, IEP).

¹⁴ Myanmar Center for Responsible Business. "Land, Briefing Paper", March 2015.

¹⁵ Source: UNDP-CPG Secretariat, 2017.

¹⁶ In 2017, defense spending represents 22% of the Union budget (up 13.8% from 2015), education 13.2% (up 34%), health 8.1% (up 53%).

¹⁷ 0.38% for environment and 0.38% for disaster relief & recovery, with climate change adaptation shared between both budgets.

¹⁸ UNDP. *The State of Local Governance: Trends in Myanmar*, 2015.

believed that sufficient public resources were allocated to solve the most pressing needs and 13% considered that Township Administrations, i.e. the level of public administration closest to people, were actually working towards responding to their needs – this latter value betraying also the limited level of decentralization in the way the public administration functions. Recent public ratings of state institutions,¹⁹ while still very positive overall, could point to a downward trend since 2014 (negative ratings increasing from 5 to 11%) and to a growing realism with what government can actually achieve (53% respondents do not expect visible results before 2020).

The mixed record of Myanmar's public institutions in terms of effectiveness and responsiveness results from a number of core governance challenges, including the need to deepen the separation of powers, to reinforce checks and balances, to decentralize the distribution of powers and resources between the national and subnational levels, to overcome a political and public administration culture where accountability, transparency and openness are new concepts, and to bridge a lack of capacity for evidence-based policy formulation and implementation, and public financial management. These challenges reduce the government's ability to adopt bold public policies and plans that keep sight of reaching strategic goalposts in the country's transformation while responding to people's immediate needs. Instead, policy making is skewed towards cautious incremental changes. It also affects the government's ability to choose the most effective channels to implement its policies, whether through legislation, regulations, special programmes or else, to align its public expenditures with its policies, to monitor implementation and impact, in a constant effort to improve public sector performance. Finally, it could weaken public trust in state institutions, in spite of the increasing democratic legitimacy established since 2015.

There is a web of causes to the limited effectiveness and responsiveness of the *machinery of government* in Myanmar as described above. Below is an attempt at deciphering the most influential causes²⁰ for the identified development challenge, considering immediate, underlying and root causes. UNDP aims primarily at addressing underlying causes through this Project, hence they are given more analysis in the following paragraphs. It should also be noted that corruption, though a key structural issue heavily impacting effectiveness of the public sector, is not addressed in the following section. This is due to the fact that fighting corruption, a clearly established priority of the NLD government, is at the centre of UNDP's Support to Accountability & Rule of Law (SARL) Project and the in-depth analysis of the problem, as well as the effectiveness of the GoM's response so far and remaining progress needed, are dealt with in the corresponding project document.

Immediate causes:

- Lack of progress in the peace process, and continuing associated fighting, which limits the possibility of governance reforms.
- Weak or non-existent evidence base attached to adopted policies and plans.
- Increased vulnerabilities among the population due to changing climate and natural disasters, but also migration patterns, exclusive growth (mostly in urban areas and secondary/tertiary sectors) and conflict violence.
- Entrenched inequalities by sex, location and ethnicity
- Unsustainable and unbalanced growth, which has a dampening impact on public finances and the ability to establish reliable mid-term expenditure frameworks.
- Poor implementation capacity in government, which is one of the causes of the decline in public capital spending from 9 percent of GDP in 2012/13 to 6.2 percent of GDP in 2015/16, the lowest level by regional standards.²¹

Underlying causes:

- Limited availability of reliable evidence for decision-making. In 2017, more official data is available to Myanmar decision-makers in government than ever before, in particular thanks to the implementation of the first population census in three decades and other surveys.²² Yet, the situation with official statistics is one of deficit of accurate and sufficiently disaggregated data for policy development and targeting of services.²³ For example, 37% of SDG indicators cannot be assessed currently for lack of required raw data²⁴ and the proportion of indicators that cannot be disaggregated to the subnational level, although not

¹⁹ CISR, 2017.

²⁰ Based on results of the preparation of the new UNDP Country Programme Document 2018-2022, with validation from government partners.

²¹ World Bank Group. *Myanmar Public Expenditure Review 2017: Fiscal Space for Economic Growth*.

²² These are: Household Living Conditions Survey, Labour Force Survey, Demographic and Health Survey, Myanmar Business Survey.

²³ World Bank's statistical capacity indicator data: <http://datatopics.worldbank.org/statisticalcapacity/SCIdashboard.aspx>

²⁴ CSO, UNDP. *Readiness of Myanmar's Official Statistics for the Sustainable Development Goals*, 2016.

yet calculated precisely, is expected to be even higher. Improved targeting in policy design is yet another reason such disaggregation is needed. Data is collected by various government agencies and departments for department-specific use and is not harmonized and consistently shared across the government which leads to serious problems of harmonization and consolidation in official statistics. The public availability of government data is hence also limited. A further complicating factor is that trust level towards government data is also low among users, including in government itself, and there are serious issues with public trust with survey campaigns organized by the GoM, rooted in decades of oppressive regime. The problem with statistics in Myanmar goes beyond their availability: it is also about the data analysis capacities of decision-makers in the executive and legislative branches of government; the problem becomes more acute as one goes down in the governance structure. As an effort to address this crippling situation for policy-making and planning in the country, a National Strategy for the Development of Statistics (NSDS) has been adopted in 2016 and an associated National Statistical Law has been adopted in 2018. Donor support to revamping the National Statistical System (NSS) has also lately increased. Adequate sampling frameworks based on the recent census offer a possibility to improve all the data and survey gathering efforts.

Coordination modalities at the centre of government²⁵ not delivering sufficient policy coherence. With the MSDP as overarching development strategy in place, it is notable that the policy initiative remains in the hands of cabinet institutions (President's Office, or PO, Union Government Office, or UGO, and the State Counsellor's Office, or SCO) and involve single ministries. When policies result from a cross-sectorial process (e.g. National Environmental Policy, National Energy Policy, Financial Inclusion Road Map, Civil Service Reform Action Plan), it is often because of strong donor support to inter-ministerial coordination, as such platforms do not deliver well in general on their own. Policy formulation at the S/R level is more limited, given the restricted range of domains where they have policy autonomy and the lack of dedicated staff supporting policy development at the S/R centre of government.²⁶ There is also insufficient coordination of the executive with the legislative branch for legislative development. As a result, policies tend to remain siloed in their definition and implementation, often overlap if not contradict each other and cross-policy coherence, especially linking social, economic and environmental areas, are often missed. In this regard, the adoption of the MSDP presents an opportunity, as its implementation requirements incentivize an approach to policy management that is implemented in an integrated way across the government horizontally and vertically. An open question remains, however, on the implications of implementing the Myanmar Sustainable Development Plan for policy-making at the State/Region level. The awareness of senior officials regarding shortcomings in cabinet processes to sustain coherent policy development, coordination and monitoring is increasing,²⁷ as shown by the recent recast of the country's aid coordination structure and modalities, which seeks to leverage donor involvement to achieve greater cross-sector coherence.²⁸

- Planning and budgeting mechanisms inadequate for greater fiscal decentralization: Although an increasing share of the country's budget is now outsourced to S/R governments for expenditure assignment (from 4% in FY 2014-15 to 25% in 2017-2018), public service delivery at the subnational level remains crippled by major gaps in effectiveness, efficiency, equity, transparency and accountability.²⁹ The problem is that political and administrative decentralization are not following the fiscal decentralization trend, as S/R governments, including subnational parliaments, lack sufficient leeway in directing funds allocated to them towards local priorities. Planning commissions and committees established by the new government³⁰ at subnational level, that should bring a more integrated, horizontal and responsive expenditure assignment process, remain marginalized by strong vertical dynamics led by Union-level line ministry departments, lack experience with inclusive and evidence-based planning and suffer from the misalignment in planning coordination between the sector departments at Township level. S/R/ ministers fail to impose policy directions over Departments and are often referred to as "ministers without ministries". Expenditure decisions still follow short-term allocation processes and are not yet linked to a prioritized analysis of core national and subnational development priorities as part of a programme-based budget. An expression of the willingness of the GoM to align public expenditure with the sustainable development agenda, Project

²⁵ Apex of executive branch both at Union and S/R levels.

²⁶ S/RG cabinets are supported by GAD which provides administrative support but no policy coordination assistance. S/RG ministries, with the notable exception of the Municipal Affairs Department are deconcentrated units of Union ministries and fulfill administrative and reporting duties well but are not suited for policy development or legislative drafting.

²⁷ UNDP-BPPS, "Core Government Functions in The Republic of the Union of Myanmar: Executive Coordination at the Center-of-Government", Mission Report, August 2017.

²⁸ Development Assistance Coordination Unit (DACU), "Myanmar Sector Coordination Groups Operating Guidelines", 26 July 2017.

²⁹ Shotton, R., Zin Wint Yee and Khin Pwint Oo. *State and Region Financing, Planning & Budgeting in Myanmar*, The Asia Foundation & Renaissance Institute, December 2016.

³⁰ In replacement of similar structures tested by the previous government between 2012 and 2016 (Development Support Committees).

Appraisal and Progress Reporting Department (PAPRD)/ MoPF has been instructed to link priorities identified in the planning processes to the relevant MSDP objectives, strategies and action plans. This will likely be possible only once the implementation mechanism for the MSDP has been clarified and when current programmes in relevant departments have been adjusted. At the subnational level, weak administrative capacity in institutions that goes with it, especially for project execution, is also a cause for inefficient capital budget execution.³¹ Thus, the impact of increasing S/R budget amounts on the overall responsiveness of the government machinery to local priorities remains limited. The GoM is conscious of this situation and has started taking measures to improve it, including by introducing in 2017 the first Medium-Term Fiscal Framework (MTFF) in Myanmar, changing the transfer formula towards more equity and providing advance notice to S/RGs of their annual budget ceiling.

- Monitoring & evaluation of public action continues to be partial and projectized and needs urgent investment to support implementation of the MSDP and the SDGs: In general, policies are considered successful in Myanmar if they result in legislation (which can take time given the unwieldy policy development system and limited legislative drafting capacity in the country), and plans are seen as completed when financial execution indicators are positive, rather than by measuring actual changes that public investments have brought to people's lives. In fact, there is no clear vision and mechanism by which monitoring and evaluation performed through these different channels can feed into a real-time analysis of policy implementation and impact on development results, including for what relates to reducing gender inequality, poverty, social inclusion or environmental risks. The problem starts with the project appraisal stage, which lacks clear guidelines, and is further compounded by a monitoring and reporting machinery that targets large infrastructure projects, is mostly driven by financial tracking and misses output-level analysis.³² The project bank, a screening and implementation modality for public and public-private projects, was introduced to ensure projects are adjusted to in 2018, which is a step in the right direction in this regard. The project bank will appraise projects across the whole of government for their contribution to achieving the goals of the MSDP's strategic action plans. It does, however not foresee arrangements for project monitoring and evaluation, which will remain the duty of the implementing department or agency.
- In the MSDP the government has identified an overall national development strategy which is well aligned with the 2030 agenda and the SDGs. The efforts to build a national monitoring and evaluation system will focus heavily on the needs of the MSDP implementation. Work on a National Indicator Framework for the MSDP is ongoing.³³ There will therefore continue to be no efficient feedback loop mechanisms to inform policy- and law-makers of the state of implementation of adopted policies and capital budgets against the MSDP, until a national monitoring and evaluation system is defined which is capable of providing monitoring and evaluation across the government, including the MSDP. Ultimately a national system needs to but also on the sectoral policies which will remain in place. Monitoring and evaluation capacities in GoM are currently concentrated at the Union level, as the PAPRD is not represented at the subnational level. As is the case with the implementation of the MSDP, M&E arrangements are focused at the Union level and there is no clear idea what M&E would look like at the sub-national level. The S/RGs can nevertheless set up their own M&E system, such as the Bago Region Construction Control Authority (BRACC), bringing together civil servants, MPs and citizens, to follow implementation of smaller projects falling outside of the scope of the project bank. This also denotes an interesting trend in Myanmar to combine democratic, administrative and social accountability for greater transparency in public sector management.
- Parliaments face challenges in undertaking the full extent of their law-making, oversight and representation functions: There is a need for clearer understanding of separation of powers and roles across governance institutions and between national and sub-national levels. Each of the key roles of law-making, oversight and representation are evolving in relation to recognised benchmarks of international parliamentary practice. Law-making is constrained due to the lack of effective policy development, cabinet processes and weaknesses in legislative drafting capacity. Committees have continued a focus from the first Hluttaw on addressing individual complaints rather than systemic issues and this has limited their ability to provide

³¹ A recent public expenditure review by the WB ("Myanmar Public Expenditure Review 2017: Fiscal Space for Economic Growth") shows a budget execution rate of 40% for the Ministry of Construction, which is also the main capital spending entity at the S/R level (over 50% of available capital budgets). The same report underlines critical data gaps on budget execution at S/R level, which limits further analysis of S/R allocative efficiency.

³² The Project Appraisal and Progress Reporting Department (PAPRD) in MoPF, the main public sector monitoring arm of government, only tracks projects over 100 m USD.

³³ 286 indicators have been identified through a first-of-its kind cross-government process, but the more technical and sensitive part of metadata development is still on-going.

constructive oversight and input into effective and people-centred policy development. The introduction of the MSDP represents an opportunity in this regard to reorient committee activity towards providing oversight of how government policy and service delivery aligns with Myanmar's sustainable development objectives. The budget process and work of the Public Accounts Committee has been limited to a focus on review of budget figures at the expense of how the budget is delivered and services provided to the public. The development of performance audits by the Auditor General's Office will greatly assist in the work of the Public Accounts Committees through a clearer emphasis on how funds are spent and the results of that public expenditure. The lack of a long tradition of parliamentary practice and procedure and a tradition of top-down decision-making has resulted in the Speaker having a high level of discretion in relation to the functions of the plenary and committees. Current processes have entrenched the plenary role in decision-making rather than as a forum for debating national issues, such as peace and the devolution of authority under a new federal system. Members are constrained in their capacity to debate by a lack of adequate access to information on forthcoming legislation, committee reports analyzing Bills and issues, detailed and in-depth parliamentary research. This is not facilitated by the fact that Hluttaw administrations, especially at the S/R level, face important human and budgetary constraints that limit the support they can provide to Hluttaw Members. At the S/R level, these limitations seriously hinder the emergence of an effective decentralized public sector. The insufficient consideration for gender equality goals in the work of parliamentarians limits their capacity to exercise oversight of the government for the implementation of international human rights instruments to which Myanmar is signatory including CEDAW, CRC, or CRPD; these treaties also contain budgetary implications and can support the GoM for upholding the rights contained in those conventions as well as ensuring that the conventions are incorporated into the legal body of the country.

- Public engagement in the policy cycle is still limited, both in frequency and in scope: Policy formulation and public-sector management in Myanmar have greatly opened to public participation and scrutiny, things that were unthinkable before 2010, and safe spaces for state-society dialogue have expanded at all levels. Yet, cases of public policies and plans developed with a meaningful and inclusive participation of various interest groups are still not the norm, and when they happen, they are often driven with external support.³⁴ Civil society participation in the elaboration of the MSDP and the development of its implementation framework were likewise limited. There is limited understanding at the centre of government on policy-making processes in general and particularly when it comes to managing consultations throughout the different steps of the policy cycle (from evidence-building to policy evaluation) in a way that is transformative and allows bringing about co-ownership over policies and plans. These deficiencies are found equally in the executive branch as in the legislative bodies, where the modalities and functions of parliamentary outreach are still rudimentary. The limited inclusivity in policy development and public-sector management, which in itself reflects the still introvert nature of the machinery of government, is detrimental to the national goal of reducing ethnic, social and territorial inequalities in the country. While awareness is present at all levels of government, in both executive and legislative branches, of the importance to become more participatory and inclusive for policy management and law-making, systems, tools and capacities, as well as in-depth understanding of underpinning principles, still need to be strengthened to reach that goal. Participation of men and women, from rural and urban settings, from different ethnicities, people with disabilities, those experiencing vulnerabilities due to climate change, disasters and affected by armed conflict poses challenges.
- Public policies need to be more prominently guided by risk factors and the imperative of resilience: The level of exposure of the country to climate and disaster risks, as well as the complex conflict situation, and the importance of its wealth of natural resources for its development and stability, as an equitable and sustainable use of land, forest, minerals and other public riches is a fundamental requirement to fighting poverty and sustaining peace in the country, are not sufficiently reflected in the policy-making and planning process through the systematic use of the resilience lens. As a result, deforestation, large-scale mining, land degradation and diminishing water resources, as well as the lack of risk mapping or risk analysis when developing policies, plans and projects, threaten the sustainability of the country's developmental base.³⁵ Resilience needs to be mainstreamed across all sectors much more ambitiously and systematically.
- Gender equality is not elevated as a principle for good policy-making: robust progress has been made by Myanmar since the transition started in reducing multidimensional gender gap, as demonstrated by measures of the Gender Inequality Index (0.466 in 2010 against 0.374 in 2015, or 80th rank out of 188 countries). Addressing gender inequality in accessing civic, political, socio-economic and environmental

³⁴ Examples: the National Environmental Policy (2017); the Township participatory planning exercises supported by UNDP, in which elected W/VTAs and local CSOs can prioritize local development projects with government agencies.

³⁵ Myanmar's National Adaptation Programme of Action to Climate Change. 2012

opportunities is prioritized by the GoM, as enshrined in its National Strategic Plan for the Advancement of Women (NSPAW), adopted in 2013. The MSDP includes gender equality as a cross-cutting principle across its 18 action plans. The NIF includes a number of gender-specific indicators and all indicators are meant to be sex-disaggregated whenever relevant and feasible given the available statistics collected by the CSO and Departments. This represents a significant policy commitment by the government. At the same time, gender equality is not yet a guiding principle for policy design. This can be explained by the low representation of women in policy-making spaces,³⁶ but it is also a reflection of how political parties and government bodies at all levels, generally have little idea of how to make budgeting and public-service delivery more gender responsive, or why this would be desirable.³⁷ There is a lack of systematic use of gender disaggregation for official statistics, lack of attention given to analysing the structural causes of gender inequality and the limited awareness and use of gender mainstreaming tools for policy development and public sector management. Furthermore, violence against women in the context of the conflicts in the country as well as their reduced presence from peace talks and post conflict plans greatly reduces the impact and efficiency of those plans as well as ignores and contravenes the Women, Peace and Security resolutions by the Security Council and the specific concluding observations by the CEDAW committee. On the positive side, there is a strong representation of women in the public service (52%), including growingly in management positions. The NSPAW, which covers 12 priority areas and is the first of its-kind in the country's history, needs to bear more impact on policy-making, planning and budgeting, and stronger commitment shown to its implementation by government agencies, outside of the poorly-resourced MoSWRR, and parliaments.

Root causes:

The nature and quality of governance in Myanmar, in particular for what relates to the management of its public sector, is affected by structural causes that are a legacy of the country's colonial and post-independence history. The long absence of democratic systems and institutions, the mistrust towards the state, its institutions and their motives, which have been for so long instruments of oppression rather than emancipation, a deeply-engrained mentality of passivity and risk-adversity in the civil service, and, above all, a delicate balance of power between the civilian and military leadership, are formidable obstacles to implementing in earnest the reforms needed by the country. Myanmar's unsettled self-defining as nation state, when it has more than 100 ethnic groups, impedes establishing and implementing a shared vision of a federal union, with mutually-benefiting centre-periphery relations.

II. STRATEGY

Overall strategy

The proposed "Support to Effective and Responsive Institutions Project" (SERIP, or the Project) is a 5-year initiative that aims to strengthen the effectiveness of state executive and legislative institutions in understanding the needs and aspirations of the population of Myanmar, in all its diversity, and in formulating, implementing and evaluating policies as well as in appropriating public resources in a way that provides effective, timely and equitable responses to these aspirations. Ultimately, the Project seeks to help the government of the Union of the Republic of Myanmar deliver more inclusive dividends from the transition to democracy, peace and growth, hence contributing to securing the social contract between state and society that is a condition for the long-term stability and prosperity of the country.

The centerpiece of the Project's approach, and more broadly of UNDP's new Country Programme 2018-2022, is to provide dovetailed support to: (1) **core government functions** that are essential building blocks of the machinery of government, i.e. the chain of decisions and actions that are needed to make policies deliver concrete results for people's lives; and (2) **parliamentary processes** as Parliaments make laws that organize a country's public sector management system and ensure governments deliver their core functions with responsibility and accountability.

The project's focus core government functions to enhance the effectiveness and responsiveness of the machinery of government, rather than, for example, focusing on sectorial work with line ministries, is in line with an emerging policy consensus in the international community with regards to supporting governance in conflict-affected and transition countries.³⁸ This means a focus rather on good enough, policy and capacity-

³⁶ Women account for 13% of Union-level MPs, 12% of S/R MPs, and only 0.5% of W/VTAs (Source: UNDP Draft CPD, June 2016).

³⁷ Minoletti, P. *Gender (In) equality in the Governance of Myanmar: Past, Present, and Potential strategies for change*. The Asia Foundation, 2016.

³⁸ UN Secretary General's Policy Committee Decision No. 2013/8 of 19 March 2013 (Update on UN Assistance in Public Administration in Post-Conflict Situations), informed by the report: *Restore of Reform? Lessons Learnt Review of UN Support to Core Public Administration Functions in the Immediate Aftermath of Conflict*, UN Working Group on Public Administration, 2013.

development inputs for restoring the functionality of *existing* governance systems in six core functions of any government: executive coordination, civil service management, public finance (expenditure/revenue) management, local governance, aid management and security maintenance.

From this overall strategic framework, SERIP chooses to provide targeted support to three of these six core functions as well as to the constitutional law-making role of parliaments. The core government functions targeted are: (i) strengthening the executive coordination of policy formulation, implementation, including through legislation, and evaluation, with the aim also of improving overall cross-sectoral coherence in the government's action; (ii) strengthening, through improved planning and budgeting processes, public expenditure assignment to be in line with government strategic policies as well as closer to people's aspirations; and (iii) reinforcing local governance systems at S/R and township levels for a more democratic, decentralized and people-centered management of public sector, including for service delivery. Finally, government and parliamentary institutions need strong and reliable evidence to assume their core functions, the Project will also strengthen capacities and systems for producing and disseminating accurate data on the country's conditions, development needs and citizen perceptions.

Other core government functions (civil service management, aid coordination, public security sector), as well as the parliamentary roles of representation and oversight will be supported through complementary UNDP projects (see p.27), so that, overall, UNDP delivers comprehensive impact on the effectiveness and responsiveness of the country's governance system.

Two key considerations, integrated into the proposed approach, shape the Project strategy:

1) *The need for further decentralization*: The GoM's objective of creating a federal democratic Union is complex for the country given that it is linked to broader questions of the peace settlement, of sharing of natural wealth, of national identity and public administration reform. Yet, the central-local relationship (i.e. Union vis-à-vis S/Rs and S/Rs vis-à-vis townships & cities) has already entered a process of redefinition with an increased volume of resources being allocated at the S/R level. S/R governments and parliaments furthermore continue to demand more power from the Union government.

Improving service delivery and bringing governance closer to people requires further steps toward decentralization. SERIP has therefore taken the strategic choice to focus a share of its support for core government functions on S/R governments. The Project will also strive to strengthen vertical linkages from Township to Union-level institutions through developing a model for bottom-up participatory planning and budgeting that caters better to local priorities.

2) *The need to strengthen the capacity to formulate and implement policies that leave no one behind*:

With the development of the MSDP and the work of the NIF in 2018/2019 the GoM has made big steps towards integrating the SDG into the national development agenda. The MSDP covers all 17 SD goals and 97 out of 169 targets. Aligning with this, 40% of the NIF's currently proposed over 270 indicators are SDG indicators. To support this alignment with the SDGs and its objective of leaving no-one behind, SERIP data for development and policy management outputs will be strongly oriented towards supporting the government in implementing the MSDP but also in meeting its SDG commitments that are outside of the MSDP framework through sectoral policies. This ensures that the SDG framework will be integrated into Myanmar's core government functions. The Voluntary National Review (VNR) Process will be an opportunity to advocate with the Government additional measures for ensuring that the MSDP is appropriately targeted to reach the furthest behind. The project will support the Government's VNR process which is structured in such a way to help the Government find the right direction and approaches in SDG implementation in this regard. With the Myanmar Living Conditions Survey and the reports emanating from it, the Government has the evidence base for addressing multi-dimensional poverty. The project will support provision of evidence and advocate with the Government for focusing planning on the needs of the furthest behind.

In this work, SERIP will apply a strong gender-sensitive, inclusive and environmentally sustainable approach to institutional strengthening by building awareness and capacities of decision-makers to respond better to the specific needs of groups made vulnerable by social, political and/or economic and environmental determinants and possible discriminations. The project will seek to mainstream considerations of gender equality, conflict sensitivity and environmental resilience and sustainability into its interventions across the policy cycle. This will include mainstreaming in the support to an improved policy model, improved planning process, improved legislative review and oversight by the Parliaments. . In a country still affected by violent conflict in certain areas, and transitioning to peace in others, conflict sensitivity is also a paramount factor for the country's future. Efforts will be made to accelerate the systematic mainstreaming of recent and future policy-level principles adopted on gender equality, inclusiveness and sustainability (GIS) into day-to-day public sector management and service delivery.

The Project will pay attention to the need to localize the SDG framework, from data collection to planning and budgeting, building on the global lessons learnt from the experience of the Millennium Development Goals where one of the reasons invoked for the mixed results achieved in many countries, in particular the least developed and conflict-affected, was the lack of involvement of and responsibilities given to subnational stakeholders for their implementation. Localizing the SDGs is also a golden opportunity to advocate for and bring about a more enabling political, administrative and fiscal environment for decentralized local governance in Myanmar.

Detailed Theory of Change

SERIP has been designed to tackle the **underlying causes** underpinning the insufficient effectiveness of the state institutions in understanding the needs and aspirations of the population of Myanmar, in all its diversity but also growing inequalities, and in formulating, implementing, including through law-making, and evaluating policies and in appropriating public resources in a way that provides effective, timely and equitable responses to these aspirations. Targeting these issues will have a direct effect on alleviating more immediate causes of the developmental challenge, while contributing to an enabling environment needed for root causes to be overcome.

Building upon this problem analysis, and following the core government functions approach, UNDP will focus SERIP on four **areas of intervention**: data for development, policy management³⁹ at the centre of government, parliamentary law-making and subnational public sector management while mainstreaming across all four greater effective integration of measures meant to increase gender equality, inclusiveness, and for policy- and law-making also (environmental) sustainability. The **rationale** is that *if* public policies, laws, plans and budgets are better prioritized and informed by reliable evidence, adopted through meaningful consultative processes and inclusive parliamentary debates that provide real opportunities for vulnerable groups to influence decisions; implemented in a more coherent and coordinated manner across executive agencies across levels of governance; monitored and evaluated more strategically, timely and transparently, *then* the performance of the state in meeting people's needs with adequate public goods and services and in reducing social and territorial inequalities, will be enhanced.

The Project will deliver under each area of intervention technical advisory, process facilitation, capacity building and financial support that will result in shifts in capacities and conditions (or **outputs**) in the machinery of government. The **chain of results** from activities to outputs, together with the **causality assumptions** underpinning it, is summarized below.

- i. **Data for Development**: by supporting the National Statistical System, coordinated by the Central Statistics Organization (CSO), to harmonize and strengthen data collection systems across public institutions, by supporting the conduct of household surveys across the whole country and by supporting a more open and proactive data dissemination policy by government, the Project will allow **governance institutions, both public and non-state, to have access to more accurate, gender sensitive and comprehensive data that will help improve their decision-making and monitoring roles across the project cycle.**

The main assumption is that, *if the quality of data available to decision-makers improve, they will be incentivized to change the way they make policy decisions towards being more evidence-based*, rather than being driven mostly by unverified assumptions or expert advice, ideology or even import of "best" policy practices from other countries.

- ii. **Policy Management**: by serving as a knowledge broker with neutral advice to help the executive leadership at Union level (President's Office, Union Government Office and State Counsellor's Office) implement, monitor and evaluate implementation of the MSDP and SDG commitments, by helping reform policy-making in Myanmar to be better coordinated, implemented, monitored and evaluated at the central and subnational levels, the Project will allow **policy formulation, implementation and monitoring at Union and S/R level to be guided by strategic priorities, and become more coherent and inclusive.**

The main assumption is that *if the centre-of-government functions in a more structured and predictable manner when it comes to policy development, then greater coordination across government can be*

³⁹ In this document, UNDP uses the terminology « policy management » as covering all stages from policy formulation to evaluation.

achieved during the policy cycle, bringing stronger policy coherence and inclusiveness across the government action. International experience of countries in transition from fragility and conflict (e.g. East Timor, Rwanda, Maldives, Viet Nam) support this assumption, as well recent guidelines issued by the World Bank and United Nations⁴⁰ and statements by the UN leadership (see Box).

“When the centre of government functions effectively, collective expertise from across the public sector can be mobilized and brought to bear on the pressing decisions confronting a country », United Nations Deputy Secretary-General Amina Mohammed.

- iii. Parliamentary Processes: by supporting the revision of plenary and committee rules and business processes in Union and S/R Hluttaws to become more transparent and accessible to all MPs, by building the ability of committees to conduct quality inquiries into policy, budgets and bills, by building MPs’ literacy on developmental and budgetary matters by strengthening parliamentary administrations to provide quality services that MPS, the plenary and committees need, the Project will allow **Union and S/R Parliaments to function more effectively and inclusively to be able to pass budgets and robust and people-centred legislation responding to policy**. The main assumption is that *if decision-making in Hluttaws becomes more transparent and organized, it will be more inclusive of the different interests and opinions of constituencies represented by MPs, and hence laws, policy inquiry reports and budgets approved by Hluttaws will contribute to make overall government activity more responsive to people’s expectations and needs*.
- iv. Subnational Governance: by building capacities of MoPF and GAD to support, respectively, S/RGs and Township Administrations to lead annual participatory planning and budgeting linked to discretionary grants, by generalizing the recourse to local execution modalities for public projects, combined with stronger internal and social monitoring and accountability systems, by promoting the adoption of more efficient and evidence-based business processes in the delivery of a range of public services, by guaranteeing better harmonization of local governance systems in conflict-affected areas and by nurturing Union-level policy reforms, including for planning and budgeting protocols that effectively mobilize local stakeholders around consensus-based development priorities, the Project will **increase the space and ability of subnational institutions to implement a public-sector management approach that is demand-driven, decentralized and puts emphasis on improving equitable access to services, building resilience and fostering peace**. This approach will support the objectives of GAD reform to deliver improved government coordination at the sub-national level. The main assumption to justify this approach is that *if the feasibility and value of new practices for expenditure assignment, budget execution and service delivery, involving greater responsibility for subnational institutions and downward accountability can be demonstrated, the intensification of government policies towards decentralization in Myanmar will be facilitated, and meet better chances of success*. Global evidence shows that, in fragile / transition settings, too rapid and too comprehensive political, administrative and fiscal decentralization bears serious risks of disruption in service delivery and state weakening, and that decentralization should be rolled out incrementally, in pace with the building of capacities in subnational governance institutions.⁴¹
- v. Mainstreaming gender equality, inclusiveness, and for policy-and law-making also (environmental) sustainability: by supporting systematic disaggregation of development data and building finer risk and impact assessments along environmental, gender, inclusivity and conflict criteria, by providing concrete and workable tools and protocols to decision-makers at central and subnational level to incorporate principles and legal norms related to environmental sustainability, gender equality, inclusiveness and peace adopted by the GoM⁴² into policy formulation and monitoring, as well as law-making, the Project will help **accelerate the embedding of the environmental and conflict resilience, and gender equality requisites into development pathways**. The main assumption is that *if decision-makers are provided with sufficient accessible information, user-friendly tools and streamlined administrative mechanisms to understand the benefits of investing in environment, inclusiveness gender equality and conflict-sensitivity, and the costs of not doing so, then they will demonstrate greater interest to respect these fundamental sustainable development principles and apply them in their regular business*. Global evidence shows that mainstreaming in general, regardless of the issue at stake, is successful when it

⁴⁰ United Nations / World Bank. (Re)Building Core Government Functions in Fragile and Conflict Affected Settings, Chapter 2: Executive Coordination at the Centre of Government. May 2017.

⁴¹ UNDP. Guide on Local Governance in Fragile and Conflict-Affected Settings, p. 115 and 118. 2016

⁴² Including: Environmental Conservation Law (2012), National Environment Policy (2016), Myanmar Action Plan for Disaster Risk Reduction (2017), National Strategic Plan for the Advancement of Women (2013), National Ceasefire Agreement (2015).

engages directly with institutions at the core of the machinery of government, and in particular those that determine public policies and expenditures.⁴³

⁴³ UNDP-UNEP. *Mainstreaming Environment and Climate for Poverty Reduction and Sustainable Development*, p.x, 2015.

To activate the proposed chain of results, UNDP has chosen to focus mostly its efforts on state institutions (executive and legislative) for greater efficiency in the use of its resources, while recognizing that a strong, structured and independent demand-side to governance, led by citizen groups, civil society and private economic actors, for more responsive and accountable governance systems that are capable of meeting the country's development challenges, is equally important – but also already prominently addressed by other development partners. The Project will hence work with a limited number of core public institutions and existing inter-institutional bodies. At Union level, this includes Cabinet institutions (President's Office, Union Government Office, State Counsellor's Office, Ministry of Investment and Foreign Economic Relations), the MoPF,⁴⁴ the General Administration Department (GAD) in the Ministry of the Union Government Office, the Union Attorney General's Office and the Union Hluttaw; at the S/R level, the Chief Minister's Offices and their supporting S/R Secretariats, S/R Departments and Township Offices of line ministries, S/R Hluttaws and S/R Ministry of Development Affairs. Planning Commissions and Planning & Implementation Committees at Union, S/R and TS levels will also be supported as they are critical nodes in the expenditure management cycle. At the subnational level, UNDP will implement an area-based approach and focus on delivering consistently the above package of support to public institutions in primarily 2 States (Mon, Rakhine) and 1 Region, (Bago). Expansion of the project to other states and regions will depend on funding availability. This is meant to maximize the mutually reinforcing changes resulting from combined support to centre of government, planning & budgeting, parliamentary processes and service delivery together.

The combined effect of the five work streams listed above will contribute to **intermediate results** at the practice and at the policy framework levels. These changes should mean smoother and more efficient horizontal and vertical linkages between core government institutions and between the executive and legislative branches, with a clearer understanding of respective responsibilities and potential synergies in running the state machinery. As a result, the machinery of government will be more effective and responsive to developmental needs because: (i) governance chains will be clarified, take shorter time to deliver decisions and will be organized along a more strategic and coherent output-based model rather than a silo-based and projectized one as it is now; (ii) law-making will be better aligned with policy priorities and at the same time conducted more independently and effectively; (iii) corrective actions will be facilitated at different stages of the policy and planning cycles thanks to more efficient evidence-based monitoring and evaluation mechanisms; (iv) systematic mainstreaming of gender equality, ethnic diversity, environmental sustainability and conflict sensitivity across the whole data to service chain of actions will contribute to tangible progress in reducing gender inequalities, reducing the probability of conflict, enhancing environmental sustainability, and in some cases improve better targeting of marginalised and vulnerable groups; and (v) policy, planning and service delivery decisions will be brought closer to beneficiaries and users, thanks to the empowerment of subnational institutions to function along a more decentralized model that effectively creates incentives for local elected representatives and civil society to participate.

UNDP conditions the successful delivery of the proposed outputs and their contribution to intermediate results on a few defining **external enabling factors**, as listed below. Some of these factors are directly addressed by other UNDP projects, while other are out-of-bound from UNDP's influence or only indirectly.

- Ethical, merit-based, inclusive and responsive civil service: shifts in institutional capacities and conditions are not durable unless changes occur as well in the mindset, motivation and performance of individual civil servants. This critical factor will be supported by UNDP through its project for operationalizing the recently-adopted Civil Service Reform Action Plan.⁴⁵
- Integrity and accountability enrooted in public institutions: in a country still plagued by high levels of corruption in public sector management and with a mediocre record in the respect of human rights by rule of law institutions, without robust progress in integrity and accountability, the effectiveness of public institutions in delivering progress for the country will remain stunted, even with the best efforts to enhance the machinery of government. UNDP will support progress for this enabling factor through its planned interventions towards the Anti-Corruption Commission and Justice sector reform.
- Increasing support to gender equality and environmental protection in government and society: new rules and tools will help change practices in these two critical dimensions for sustainable development, but evolutions in understanding and attitudes are also necessary, and not just among official decision-makers. UNDP will continue supporting societal changes on gender equality through gender-specific

⁴⁴ With focus on Central Statistical Organization (CSO), Department of Planning (DoP), Department of Budget (DoB), Project Appraisal and Progress Reporting Department (PAPRD).

⁴⁵ July 12, 2017.

targeted interventions as well as a gender-sensitive approach of all its projects and programming, and support research and technological evolutions for environmental conservation, disaster resilience and climate change adaptation through its Ecosystem & Climate Systems and Services Project.

- Commitment to democratic transition and peace stays firm: in particular among key power-holders at national and local levels and among the population. While this factor is subject to complex dynamics in the Myanmar society and politics which UNDP has little traction on, through its Sustaining Peace Project UNDP will provide support to local and national peace infrastructures that have an essential role to play in bolstering political and popular support for the peace process, as rickety and slow it may be.
- Space and capacities for civil society’s role in governance expands: public institutions are only one side of the governance coin. While UNDP has decided to prioritize the “supply” side of governance systems in its new CPD, the importance of continuing building civil society capacities as a critical partner and watchdog over government, cannot be downplayed. Several other development partners provide support in this area, and the Myanmar civil society itself is also exerting great efforts to keep the civic space expanding and improve its capacities to represent forcefully people’s interests.
- Political economy does not preclude change at the centre of government: by definition, business at the centre of government is highly shaped and driven by political incentives and strategies, and only partially by technical considerations. Even if the Project means to address technical shortcomings in how the executive coordination of government works, this support will only result in effective progress if the political forces at play benefit from this change.

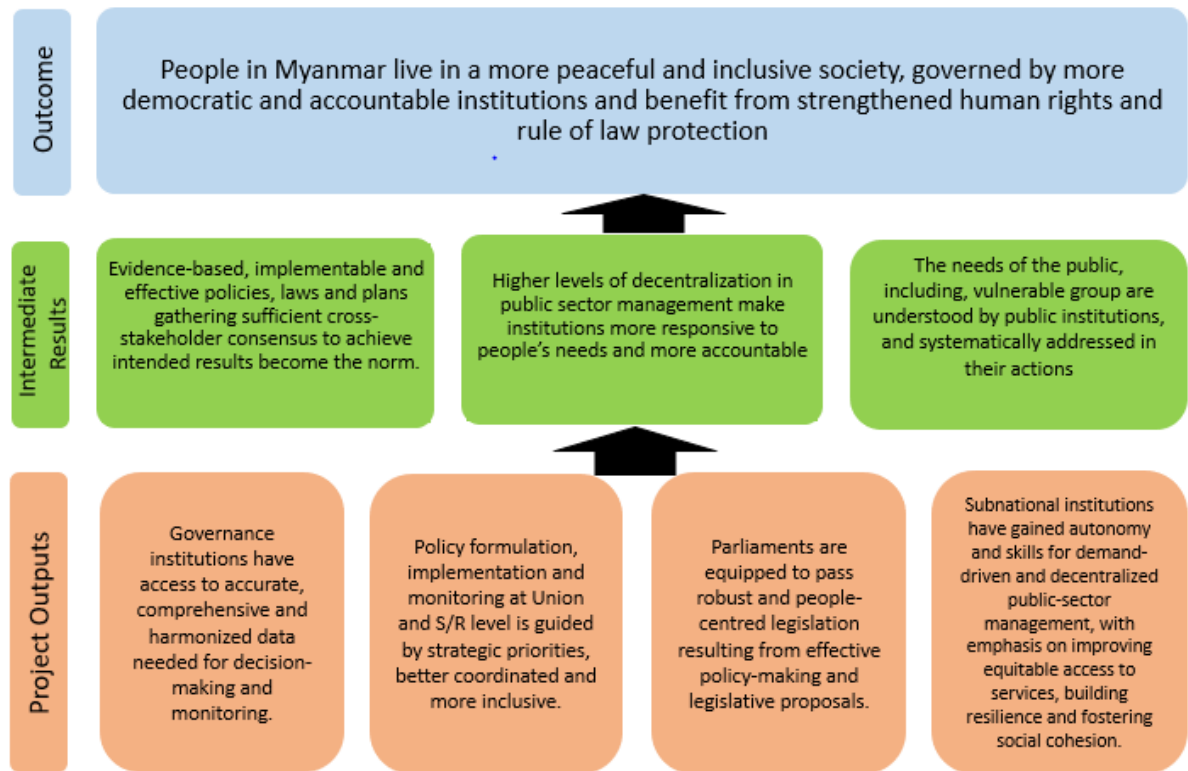


Figure 1. SERIP Results Chain

Linkage to national development priorities

SERIP is aligned on the vision of a *country that is people-centered and aims to achieve inclusive and continuous development*, as expressed by the GoM in its 12-point Economic Policy in 2016 and reiterated in its declaration of commitment to the UNDAF in 2017 (*To build a peaceful, prosperous and democratic Myanmar, after enduring seven decades of civil war, underdevelopment and social and political stagnation*). Helping the machinery of government and parliaments at national and subnational levels understand better the needs and evolutions of the country, through easier access to more reliable evidence and stronger engagement with citizens (directly and through their representatives), will make policy-making, law-making, planning and investment decisions more responsive. Providing practical approaches and tools for forging greater policy coherence and effectiveness, in particular to address vulnerabilities and inequalities, will increase the inclusivity of development results resulting from the state's action.

SERIP also responds to the following national SDG priorities:⁴⁶ (i) increasing access to peace and justice, **institutional strengthening**, and combating corruption; (ii) addressing **climate change** and building **disaster resilience**; (iii) reducing poverty and **inequalities**, empowering people, increasing women's employment and financial inclusion; and (iv) aligning national needs and priorities with **improved statistics**.

Linkages to UNDP Myanmar CPD

The rationale for SERIP comes from the new CPD 2018-2022, developed with the GoM, which suggests that *“securing a durable peace will require efforts to build effective national and sub-national institutions to address the immediate needs of all of Myanmar's communities, build the trust necessary to underpin an eventual political settlement to decades of conflict, and prepare institutions for increased decentralization in line with an eventual peace settlement. In so doing, governance mechanisms must mitigate conflict risks posed by inequality, exclusion, and vulnerability linked to climate change and natural resource management.”*⁴⁷ This way, people's trust in state institutions can be buttressed and state-society relations improved over time, making the country's social contract a real engine of resilient peace and development progress.

The CPD goes further into committing UNDP to *“strengthen core government functions (SDG 16) by building capacities to improve coherence between policy formulation, coordination and implementation, as well and legislative drafting processes at Union and State/Region levels”* and to *“provide technical support to improve national and sub-national capacities to mainstream the SDGs for more cross-sectoral conflict, disaster risk and gender-sensitive development planning, budgeting and implementation”*. SERIP will also contribute to implement the CPD commitment to *“strengthening Parliaments to enhance strategic planning and law-making, establish an independent parliamentary service, improve the capacity of parliamentary oversight committees, engage with civil society, and promote professional responsibility and ethics”*.

SERIP is linked to CPD Outcome 1:⁴⁸ *“People in Myanmar live in a more peaceful and inclusive society, governed by more democratic and accountable institutions, and benefit from strengthened human rights and rule of law protection”*. Within Outcome 1, SERIP contribute to the following outputs:

- Output 1.1 (***Effective public institutions enabled to develop and implement evidence based policies and systems that respond to the needs of the people***): this is the main focus of the Project as it will work with institutions that are at the core of the policy-making, planning and service delivery machinery to develop systems and capacities needed to systematize the use of evidence reflecting men's and women's, boys' and girls' needs as well as gender analysis in decision-making, streamline horizontal and vertical coordination and feedback loops to accelerate and enhance implementation so that results achieved meet better initial objectives and targets. By promoting greater decentralization in decision-making to the subnational level, the Project also contributes to increasing responsiveness of state institutions.
- Output 1.2 (***Institutions at Union and sub-national levels enabled to develop effective systems and procedures for performing their representative and oversight functions***): the Project contributes to this output through its support to building the core systems and capacities of Union and S/R Hluttaws for law-making and oversight. Knowledge in budgeting as well as pro poor-, gender- and conflict-sensitive law-making will also be a focus.
- Output 1.3 (***Mechanisms, institutions and capacities strengthened to sustain peace and social cohesion***): through its support to the policy debate on federalism and decentralization within the peace process.

⁴⁶ As presented during UNDP-Government consultations on 6 April 2017.

⁴⁷ UNDP. *Draft Country Programme for Myanmar, 2018-2022*, p. 4. 2017.

⁴⁸ UNDP-CPD Outcome 1 is UNDAF Outcome 4.

Although not officially linked to UNDP CPD-Outcome 2, as corporate rules only allow linking to one outcome, SERIP also bears significance for that outcome, which focuses on the People & Planet areas of Agenda 2030, and in particular with Output 2.1 (*Improved disaster and climate risk management systems for community resilience*) and Output 2.2 (*Solutions developed at the national and sub-national levels for sustainable management of natural resources and ecosystem services as a platform for inclusive economic development*). Indeed, SERIP's work on mainstreaming into the regular national & subnational policy formulation and development planning processes, the policies, laws and regulations related to environmental conservation, disaster risk management and climate change adaptation, will contribute directly to this output.

Annex 1 shows a diagramme linking SERIP to the CPD Outcome, CPD Outputs and core government functions. It also displays complementarities with other upcoming UNDP projects.

Linkage to UNDP Strategic Plan

SERIP will most directly contribute to address the second and third development settings prioritized in UNDP's Strategic Plan (2018-2022), which are: (B) Accelerate structural transformations for sustainable development; and (C) Build resilience to shocks and crises.

SERIP is linked more specifically to Signature Solution 2 (***Strengthen effective, accountable and inclusive governance***), which underlines that accountable and inclusive governance systems and processes are crucial to sustainable development and therefore focuses on supporting diverse pathways towards building peaceful, just and inclusive societies.

UNDP Myanmar's experience in the proposed areas of work

SERIP is inspired by more than 5 years of UNDP's involvement with strengthening governance systems and institutions in Myanmar, spanning a large array of institutions in the three branches of government. UNDP has established itself as a key partner for strengthening core government functions through: enhancing capacities to lead and sustain change through developing policies and strategic plans in various key development areas and at Union and S/R Level; supporting a cross-sectoral civil service reform; building inter-governmental coordination capacity; strengthening parliamentary leadership and administrations, facilitating the establishment of the first common parliamentary service between Union and S/R Hluttaws; and bringing for the first time a participatory approach to Township-level planning and budgeting to support greater fiscal decentralization. UNDP strengthened national capacities for research, analysis, and generation of high-quality data, including preparation of SDG data readiness and baseline studies. Through this support, UNDP has helped develop national policies on environment, disaster management and risk reduction, and financial inclusion, and initiated support for sub-national development planning. Furthermore, the past programme contributed to the realization of increasing access to local governance, services, networking and livelihood opportunities for women, despite considerable challenges faced in terms of cultural and traditional expectations of women's roles and responsibilities in society. By increasing the visibility of women in leadership positions UNDP helped reduce negative stereotypes and increased women's confidence to develop and own their agendas and engagement plans. Yet, gender awareness and sensitivity are still at a nascent stage in Myanmar and remain a challenge to overcome; hence the good effort begun in the previous CPD cycle should continue in future programmes and evolve also into the policy level in order to address the "concrete" ceiling limiting a real breakthrough in women's participation in local governance, whether as elected official, senior administration staff or citizen.

These past efforts by UNDP to contribute to the reform of the political and institutional governance apparatuses in the country have been independently evaluated in 2016.⁴⁹ These evaluations noted that UNDP had been able to forge strong trust-based relationships with institutions delivering core government functions institutions, in helping link research and analysis with policy and decision-making, in preparing institutions for strategic reforms and in brokering a more constructive relationship between state and society, in particular at the subnational level. These evaluations made the following main recommendations to inform UNDP's new programming cycle in governance support:

- Continue strengthening systems and capacities for evidence-based policy development
- Focus more prominently on the supply side of governance, in particular for core government functions, including planning, budgeting, revenue generation, service delivery and public accountability, while strengthening government's capacity to build stronger relationship with citizens and civil society at

⁴⁹ Garrigue, N., Marla Zapach. and U Kyaw Thu. "Independent Outcome Evaluation of UNDP Myanmar Local Governance Programme 2013-2016". February 2017. Rawkins P., Frederick Rawski and Sai Thun Thiha. "Mid-Term Evaluation Democratic Governance and Rule of Law Portfolio 2013-2016", December 2016.

all levels.

- Promote greater horizontal and vertical integration across the machinery of government, and cross-fertilization between resilience (disasters, climate change, conflict-sensitivity) and local development.
- Support the alignment of development priorities and tools with the Agenda 2030 and its principles.
- Be more ambitious and systematic on the mainstreaming of gender equality and a human-rights based approach in policy-making and planning.

SERIP confirms therefore the positioning of UNDP as a trusted partner in government for institutional development and governance reforms. It allows to capitalize on past investments, results and lessons learnt and to maintain critical partnerships for achieving strategic change in the long-term.

In its support to the GoM to improve cross-sectoral planning and policy-making and support effective implementation MSDP, UNDP benefits from its role of SDG integrator in the UN Country Team, which allows it to play a role of process facilitator, and to coordinate provision of expertise and assistance to support implementation of the MSDP. This will be particularly useful in the support to the GoM in conducting its first Voluntary National Review of Myanmar's SDG implementation. UNDP and the UN Economic and Social Commission for Asia Pacific (ESCAP) have supported this multi-stakeholder process in many countries across the Asia Pacific region and are well positioned to provide this support in Myanmar.

III. RESULTS AND PARTNERSHIPS

Expected Results

As explained in the previous section, while SERIP is linked to different CPD Outputs, UNDP has also developed a set of three interconnected intermediate results to strengthen the theory of change explaining the link between project interventions and CPD outputs.

- 1. Evidence-based, implementable and effective policies, laws and plans gathering sufficient cross-stakeholder consensus to achieve intended results become the norm.**
- 2. Higher levels of decentralization in public sector management make institutions more responsive to people's needs and accountable.**
- 3. The needs of the public, including vulnerable groups, are understood by public institutions and systematically addressed in their actions.**

The Project is designed around five interconnected work streams, grouped into 4 Outputs, as the fifth work stream (mainstreaming of gender equality, environmental and conflict criteria) is integrated into each of the other 4 vertical outputs, rather than parked in a separate one. Mainstreaming of these essential dimensions of sustainable development is guaranteed by applying systematically the following approach:

- Awareness-raising:** influential politicians and decision-makers at different levels will be invited to participate in awareness-raising and training activities discussing the importance of gender equality, environmental resilience and conflict sensitivity for the country's overall sustainable development and providing concrete approaches and tools for mainstreaming. The Project will also disseminate these principles through various policy and media networks.
- Participation & leadership:** the greater representation (including in leadership functions) of women, ethnic groups and populations affected by conflict, disasters, climate change or man-made environmental damages, will be nurtured in all project activities and in institutions and governance processes supported by the Project.
- Data production:** technical solutions and capacities will be developed for increasing/improving the disaggregation of data to better reflect and analysing the situation and needs of vulnerable groups affected by gender inequality, conflict and/or environmental and climatic degradation.
- Coalition strengthening:** inter-institutional committees and multi-stakeholder platforms already set up by government to address the non-realization of environmental, gender and conflict reduction priorities, will be accompanied and supported in their work, with specific attention given to their role in the integration of SDG 5, SDG 13 and SDG 16 targets into development processes.
- Policy compliance:** policy- and law-makers will be provided with technical expertise to continue strengthening the policy and legal framework needed for the protection of the rights of vulnerable groups in all their diversity⁵⁰ to development and for the alignment of public policies with the sustainable

⁵⁰ Although specific statistics for the most vulnerable groups were not readily available, their identification in the ASEAN Social and Cultural Community Vision 2025 Blueprint are children and youth; the elderly or older persons; persons with disabilities; ethnic minority groups; migrant workers; vulnerable and marginalized groups; and people living in at-risk areas, including people living in remote and border areas and climate sensitive areas.

development principles. Where legal frameworks already exist,⁵¹ the Project will assist with the development of secondary legislation and regulations needed for their concrete translation into public sector management.

- vi. Mainstreaming tools and capacities: the continuous enhancement of existing tools for mainstreaming policy and legal instruments related to gender equality, environmental conservation, disaster / climate change resilience and conflict resolution & prevention, into national and sub-national planning, budgeting and project appraisal processes, and the development of new ones, will be supported. Capacities of non-specialized agencies (i.e. institutions not primarily mandated to work on gender equality, environment and conflict reduction) for using these tools will also be built.
- vii. Results measurement: the production and dissemination through the national monitoring & evaluation system of indicators sensitive to gender, resilience and conflict / social cohesion, will be supported.

Further details on how the Project will support mainstreaming specifically for each of considered dimensions (gender equality, environment and conflict areas), are provided within the description of project activities starting below.

Following is a detailed presentation of the 4 Project Outputs, with key deliverables and proposed Activity Results.

Project Output 1: Governance institutions have access to accurate, comprehensive and harmonized data needed for decision-making and monitoring.

This output builds on the support provided by UNDP since 2015 in building technical capacities of the Central Statistics Organization for data production and dissemination, in organizing the nation-wide Myanmar Living Conditions Survey and in building Myanmar's SDG indicator baseline. UNDP's contribution to the statistics sector in Myanmar under this output is guided by the Strategic Development Objectives of the recently-adopted NSDS and will be coordinated with other partners' support through the Sector Working Group on Statistics. UNDP will support the CSO in assuming to the fullest its role as *the* National Statistical Organization, which implies developing its leadership capacity, compliance with independence and credibility standards, effective coordination with line ministries and trust-based interface with data users, in and outside of government. In support of greater subnational capacities for development planning, the Project will spread its technical support to CSO across its three levels of administrative presence: Union, State/Region and Townships.

Key output deliverables by 2022

- Increased rate of completion of the NSDS
- Increased compliance of data collected by line ministries with harmonized norms adopted by the NSS
- CSO capable of training statisticians across government institutions to a professional level
- At least 3 national survey programmes conducted by CSO according to international standards
- Significant progress made by Myanmar in adopting and implementing an Open Data policy
- Institutionalized and trust-based relationship between CSO and data users (in and out of GoM)
- Gender equality, environmental and conflict-related statistics readily available to decision-makers at national and subnational levels.

Activity Result 1.1: Capacities developed, and harmonized systems demonstrated in Central Statistics Organization and key line ministries for collecting high-quality official statistics.

The Project will strengthen the NSS architecture by supporting the coordination of up to 2 NSS Clusters (Survey Coordination and Statistical Standards, and Environmental Statistics) as well as by supporting the role of the CSO as Secretary of the Central Committee for Data Accuracy & Quality of Statistics. The Project will also support the CSO to lead a programme of professionalization of the statistician function in public administration, including by supporting the establishment and capacity development of a Statistics Training Institute inside the CSO. This Institute is needed to train statistical staff across line ministries at national and subnational level. Over the course of the 5 years of the Project, UNDP will provide technical expertise to the NSS for achieving different targets in the harmonization of statistics collection, including definitions, metadata, classification standards and data structures, as well as for mainstreaming more systematically gender, environmental and conflict considerations in the design, collection and analysis of statistical data points and indicators. An important contribution for enhanced localization of development policies will be the Project's support to the integration of geospatial information in data collection, which allow building more

⁵¹ Including the National Strategic Plan for the Advancement of Women, the National Environmental Policy, the Myanmar Action Plan for Disaster Risk Reduction, the Myanmar Climate Change Strategy & Action Plan, the National Ceasefire Agreement.

comprehensive data sets on a township and S/R basis. With the same objective, the Project will work with the CSO and GAD to strengthen data collection conducted by Ward and Village Tract Administrations (W/VTAs). For strengthening the CSO's position as the National Statistics Organization, the Project will continue providing technical, operational and financial support (through grants) to the CSO for expanding its work programme by conducting regular house-hold surveys on poverty, social, gender and labour statistics, and will provide extra advice and support to achieve full coverage of the country's regions including conflict-affected ones.

Activity Result 1.2: Policies, platforms and tools for the open dissemination of official statistics established.

As the CSO needs to urgently evolve a programme to coordinate the dissemination of statistical information on behalf of government, as underlined in the NSDS, the Project will provide the CSO with technical advice and exposure to international experience to inspire a new data dissemination policy, including for data revision, and more generally to nurture the GoM into fully adopting an Open Data approach. Access to statistics by non-CSO users, including non-governmental stakeholders and ethnic organizations, will be facilitated by improving the supply of user-friendly data (continuous upgrades to the government statistical portal, enhanced data visuals) and by building capacities on the demand side to access and understand government statistics. To bridge the current wide gap between the CSO and data users, the Project will facilitate the creation of exchange platforms between them and build CSO capacities for better understanding the needs and feedback of data users.

Project Output 2: Policy formulation, implementation and monitoring at Union and S/R level is guided by strategic priorities, better coordinated and more inclusive.

Output 2 builds upon UNDP's past engagement with the GoM in the definition of a public administration reform for Myanmar and is closely related to UNDP's support to the development and roll-out of the Civil Service Reform Action Plan. Output 2 responds to the need commonly identified by senior Myanmar decision-makers in the executive and legislative branches that policy management in Myanmar, from formulation to evaluation, needs to be better coordinated across sectors, to deliver policy and legislation that are implementable and can achieve results.⁵² This also requires that mechanisms for monitoring & evaluation are built to monitor the implementation of cross-sectoral strategies and the MSDP. For this purpose the output will strengthen the GoM's centre of government coordination, leveraging UNDP's track record of successful support in this area.⁵³ UNDP will provide support to the executive coordination of policy management (from policy formulation to evaluation) at Union and S/R levels and support the GoM in putting in place improved procedures for policy formulation and legislative drafting at the ministry level. UNDP will partner with other development partners in supporting the set-up of a national M&E system that will allow for monitoring and evaluation of individual policies as well as cross-sectoral strategies, most importantly, the MSDP and the SDGs. Through on-demand flexible support and modelling of best-fit practices, UNDP hopes to contribute to developing a tailored Myanmar model for policy management that integrates gender equality, environmental and conflict sensitivity.

Key output deliverables by 2022

- The MSDP has a clear implementation and monitoring framework that will guide the work of policy-makers and planners.
- Machinery of Government (MoG) puts its model for centre-of government coordination that is capable of coordinating cross-sectoral strategies involving multiple ministries.
- A standardized Myanmar model for policy management that is gender, environmental and conflict sensitive.
- The architecture for a functioning public-sector monitoring and evaluation system based on the structures for MSDP M&E are designed and proposed.

Activity Result 2.1: The Myanmar Sustainable Development Plan is implemented effectively across the government, monitored and coordinated with sectoral policies

As outlined above, the MSDP has been introduced by the GoM as its overarching development strategy. The MSDP will "provide an overall framework for coordination and cooperation across all ministries, and all States and Regions."⁵⁴ The MSDP's six goals (Peace, National Reconciliation, Security & Good Governance,

⁵²Identified in the course of a Professional Development Programme for senior government and Hluttaw officials in February 2018

⁵³ Including in Timor-Leste, Rwanda, Maldives, Viet Nam.

⁵⁴Daw Aung San Suu Kyi, Foreword to the Myanmar Sustainable Development Plan (2018)

Economic Stability & Strengthened Macroeconomic Management, Job Creation & Private Sector Led Growth, Human Resources & Social Development for a 21st Century Society, and Natural Resources & the Environment for Posterity of the Nation) reference existing sectoral strategies as “guiding documents” for the overall 28 strategies/action plans. Gender Equality is understood as being a part of equity and inclusion. Conflict sensitivity, and environmental sustainability have additionally been identified as cross-cutting themes. From 2017, UNDP had supported the GoM with advice in integrating the SDGs into its national planning, budgeting and monitoring frameworks and processes and under SERIP, UNDP supports SDG integration into the implementation of the MSDP.⁵⁵ Implementation of the MSDP will require an implementation and monitoring framework⁵⁶ and effective coordination across the government and Union – S/R levels.

The project will provide support to the implementation of the MSDP, by facilitating and supporting through technical advice the development of a monitoring framework that ensures cross-sectoral measurement of results and linkages to the 2030 Agenda, also ensuring the mainstreaming of the MSDP’s important cross-cutting themes of equity and inclusion, conflict sensitivity and environmental sustainability in the MSDP’s implementation framework. The support will firstly include assistance to mainstreaming the MSDP’s objectives into the national planning process conducted by PD. This will include provision of technical assistance to the Planning Department and support to training capacity of the PD to ensure its planners at all levels have the skills to effectively facilitate cross-sectoral planning that links with the MSDP. In this support, UNDP will link into the MSDP implementation framework, including the new Project Bank, which is technically supported by the MOPF’s PAPRD, and PD and which appraises strategic projects for implementation of the MSDP.

The support will secondly include developing an M&E system for the MSDP, including an indicator framework for the MSDP which will include global SDG indicators. To ensure ongoing monitoring against identified indicators the project will support the GoM in making sure data against indicators are collected, harmonized building on the work in output 1. The project will use progress being made towards the M&E Framework for the MSDP as a nucleus for a government M&E system. SERIP will seek to provide lessons learned from MSDP M&E to inform the Government’s efforts to developing its monitoring and evaluation framework. SERIP will ensure the larger national system. The project will also support the GoM in reporting progress in implementing the global 2030 agenda based on the MSDP in the framework of Myanmar’s first Voluntary National Review. Finally, The project will also develop the capacity of the Hluttaws to understand the MSDP and provide oversight of its implementation and guidance for its review (see Output 3 below).

The project will thirdly coordinate with other DPs that address M&E system-wide. Lessons learned from MSDP’s M&E system will be made available so that the MSDP M&E system may form the nucleus for a government-wide M&E architecture. Together with other interesting DPs, UNDP will convene government and development partners across all sectors to design the government M&E architecture and which may include M&E units in line ministries in addition to an M&E centre of excellence at the Centre, and will mobilize technical assistance to line ministries while UNDP’s technical assistance will remain focused on its key counterparts in MOPF.

Activity Result 2.2: Improved practices for policy coordination at the centre of government and for policy development are demonstrated and modelled.

The Project proposes to provide flexible, demand-driven and multi-disciplinary support to core government institutions, including the Ministry of the Union Government Office, the State Counsellor’s Office, The Office of the President, the Ministry of Investment and Foreign External Relations, the Ministry of Planning And Finance and the Attorney’s General Office, in defining and implementing an effective cabinet process and capacities for cross-sectoral coordination of policy required to steer Myanmar’s national development based on implementation of the MSDP and its coordination with sectoral policies. The output will also ensure that current policy-making process will be reviewed and reformed towards context-driven and inclusive policy processes, with systematic attention to inclusiveness and gender equality and sustainability, environmental and conflict considerations. This support would concern primarily the Union level for national policies but include support to the S/R level for policies related to the mandated functions of S/RGs (e.g. municipal affairs)

⁵⁵ “Discussion Paper on the Integration of the SDGs into Myanmar’s Planning, Budgeting and Monitoring Frameworks” commissioned by the MoPF to UNDP (2017).

⁵⁶ The MSDP identifies a project bank which will screen strategic projects and ensure alignment of projects with the strategies/action plans under the MSDP.

The overall approach consists in: (i) supporting the GoM in reviewing the existing cabinet and government coordination process and identifying a model for consolidation of the centre of government; (ii) reviewing with GoM with the Attorney General’s Office and in cooperation with the Hluttaws, the policy making process across the policy cycle identifying with GoM areas for improvement (research, coordination and consultation, results frameworks, legal drafting, legislative process and strategic communications); (iii) live testing a range of new approaches and tools, based on the review, across a few new policy processes related to Peace, Planet & People;⁵⁷ (iv) modelling lessons learnt from the pilots into a new Myanmar Policy Development Model and building capacities among senior administrative echelons at Union and S/R level for its use; (v) ensuring that gender equality, conflict prevention and environmental sustainability are mainstreamed. At the sub-national level the work on policy processes will be aligned with the General Administration Reform Framework - Output 6.3 – To accelerate the policy support function of GAD for development policies of Region and State Governments in relation to MSDP. This Activity Result will link up with the work of its sister SARL Project on continued support of the role of the Union Attorney General’s Office, at Union and S/R level, in legislative drafting and vetting, as a critical step of the policy management cycle and will be closely coordinated with activities in Output 3 focusing on parliamentary processes, to ensure improved coordination between the executive and legislative branches in policy development and law-making.

Project Output 3: Parliaments are equipped to pass robust and people-centred legislation resulting from effective policy-making and legislative proposals.

Output 3 represents a continuation and expansion of UNDP’s support for the past 5 years to parliamentary development in Myanmar. It seeks to strengthen the policy review and law-making functions of Union and S/R Hluttaws as a necessary condition for more effective and responsive policy and public finance management. Capacity development will be provided to Hluttaws to better plan their business and pass legislation, including budgets. Through this Output, and the support to be provided to stronger representation and oversight functions of Hluttaws as part of the Strengthening Accountability and the Rule of Law (SARL) project, UNDP will provide comprehensive support to the needs of the legislative branch, including at S/R level, where donor support is currently limited. While the Output aims to focus more specifically on the 3 S/Rs selected by UNDP for SERIP, some of the system enhancement and training activities will cover all 14 S/R Hluttaws due to the limited audience concerned and economies of scale that can be reached this way. To support implementation, UNDP will retain its presence at the Union Hluttaw’s Learning Centre and establish S/R hubs situated in up to 4 parliaments situated in both Lower Myanmar and Upper Myanmar. Each hub will service about 2-3 S/R Hluttaw and have both technical and programmatic capabilities. All key outputs will be gender-proofed.

Key output deliverables by 2022 (Union, S/R Hluttaws)

- Updated Rules of Procedure, produced by newly-established Procedures Committees, to support stronger parliamentary democracy.
- Updated parliamentary business management procedures, produced by newly-established Business Committees, to organize legislative agenda.
- Regular capacity development programmes delivered by Myanmar Parliamentary Union, through its Myanmar Centre of Parliamentary Strengthening and Knowledge Exchange, to all MPs & staff in the country.
- Hluttaws provide timely, independent and meaningful contributions to the implementation of government policies and budget (through law-making, constituency outreach and inquiry).
- Strategic plans adopted and under implementation in Union and 3 S/R Hluttaw Administrations, leading to more efficient support to the knowledge and administrative support needs of MPs.
- Women MP Network convened across all 17 Hluttaws to promote women MP professional development and raise and advocate for women MP priorities in Hluttaw business;

Activity Result 3.1: Plenary debate and decision-making on legislation and matters of national importance improved

SERIP will support reform of the rules and business processes to ensure that Hluttaws’ business becomes more predictable, transparent and allow greater MP participation. This will enhance the roles of law-making and oversight by committees and the range of matters debated in the Plenary. The Project will support the involvement of the Hluttaw Learning Centre (and future Centre for Parliamentary Learning and Knowledge Exchange, see AR 3.3) in delivering regular leadership programmes for senior members of Union and S/R

⁵⁷ As these are areas of major focus for UNDP in its new CPD, it will allow UNDP to combine process expertise with content development support.

Hluttaws and professional development programmes for MPs. UNDP will support the Hluttaws in understanding the country's development priorities, including the MSDP and the 2030 agenda. Hluttaws will be equipped for providing effective oversight of the GoM's implementation of the MSDP and to participate as a key stakeholder in the MSDP's regular review and on its international reporting in the framework of the VNR. This will include knowledge sharing on the MSDP and the SDGs and support to committee systems in conducting oversight in these areas (see also activity result 3.2 below). The project will support the development of a women MP network (possibly under the MPU) that will address women MP professional development priorities and

MPs' knowledge on matters pertinent to the country's development priorities, including better understanding of the principles of Agenda 2030 related to leaving no one behind and of the SDGs, will be strengthened by mobilizing expertise on these areas from Ministries and policy institutes.

Activity Result 3.2: Systems demonstrated and capacities developed to support more effective policy review and law-making.

The Project will provide targeted support, at Union and in 3 S/R Hluttaws, to the policy and legislative work of Committees involved with People and Planet development issues (including those targeted by policy initiatives covered by SERIP in Activity Result 2.2.) Support will also be provided to the Legislative Committees for review of bills and to the Public Accounts and Planning Committees at S/R level (as these committees already receive ample technical support through other donor programmes at Union level) for the review of annual plans and budgets submitted for Hluttaw approval. This will feature the introduction of tailored committee inquiry processes for policy oversight, for bill review and for budget review. The support will include, where necessary, financial and budgetary literacy trainings for MPs. The Project will mainstream into the inquiry methodology considerations of gender equality, inclusiveness and sustainability the use by to better reflect these elements in the review of policies, bills and budgets. Committees will also receive support in providing oversight of the implementation of the MSDP by the GoM (see also Activity Result 3.2 above)

Activity Result 3.3: Strategic plans adopted and capacities strengthened in parliamentary administrations.

The Project will support the upgrading of the existing Hluttaw Training Centre into the Myanmar Centre of Parliamentary Learning and Knowledge Exchange, under the leadership of the Myanmar Parliamentary Union. This will entail capacity development and logistical support, as well as facilitating partnership building between the Centre and similar outfits at regional and global level to increase knowledge exchange and peer-to-peer learning on key development and parliamentary matters. As MPs require a highly-trained, efficient and responsive administration to support their work, the Project will continue investing in building capacities of Hluttaw administrations for strategic planning and delivery of essential parliamentary services (such as ICT and research) to MPs at the Union and S/R levels (with preferential focus on 3 S/Rs) through the coordinated leadership of the MPU. Links will be established with Output 1 to make sure that Hluttaw staff have stronger capacities in accessing and analysing the official statistics and other research data that MPs need to support more evidence-based parliamentary work, and with the Support to Civil Service Reform Project for upgrading human resource management by Hluttaw administrations. All activities will incorporate a gender, environmental and conflict sensitivity.

Project Output 4: Subnational institutions have gained autonomy and skills for demand-driven and decentralized public-sector management, with emphasis on improving equitable access to services, building resilience and fostering social cohesion.

Output 4 deals with the critical interface between the formulation of public policies *and* the actual delivery of public goods and services to citizens. Within the overall machinery of government, institutions and processes at the centre of Output 4's attention are the most inadequate at fulfilling the people's expectations. The subnational level is also where the piloting of new approaches for people-centred governance are growing the fastest, with incentives from the acceleration of the fiscal decentralization process (4% in FY 2014/15 to 18% in 2017/18) and the noticeable efforts from hitherto heavily-centralized institutions such as the GAD, MoPF or the Department of Rural Development (DRD), to bring decision-making closer to the grassroots. There is still a lot of progress to be covered to move from experimentation to actual policy changes, to see more discretionary funding transferred from Union to local levels (hence really fulfilling the promise of fiscal devolution vs. fiscal deconcentration as it mostly the case now), to build sufficient institutional capacities needed to support decentralized governance in the country and to ensure that the budding decentralization process advances gender equality, peace and environmental resilience goals. Output 4 aims to contribute to this dynamic. It is the most critical (and highest-funded) output in SERIP to demonstrate to the public an

increase in the state's effectiveness and responsiveness in meeting their aspirations.

Output 4 emphasises participatory and accountable public-sector management at the Township level and linkages with Union-level reforms and development priorities to scale up the people-centred approach to local governance and service delivery. Output 4 is also where the bulk of UNDP's support to the localization of SDGs, as prioritized by the GoM, will take place. The output is organized into four areas of work: (i) strategic and annual planning & budgeting mechanisms led by S/R governments; (ii) township participatory and transparent budgetary planning and execution; (iii) administrative and municipal service delivery; (iv) upscaling lessons learned into policy and systemic capacity changes. The mainstreaming of gender equality, environmental and conflict-related considerations will take place throughout the five areas so that subnational development processes contribute more prominently in reducing social and territorial inequalities.

Key output deliverables by 2022

- At least 3 S/Rs equipped with strategic plans for their key development priorities, in accordance with the MSDP, and developed through multi-stakeholder processes.
- Union-level annual planning & budgeting and fiscal transfer mechanisms adapted to reflect greater autonomy of S/R Governments in the management of their development process.
- At least 5 Township Administrations in Rakhine State, capable of producing and executing evidence-based participatory annual plans and budgets to better prioritize public investments for sustainable local development.
- Population of up to 5 townships benefiting from improved socio-economic development opportunities funded by annual UNDP Township grants (up to 3 years in each Township).
- 3 cities providing better quality (as measured by users) and more cost-efficient urban/municipal services.
- Professional development programmes in public administration academies providing skills for decentralized public sector management.
- New policies / laws providing larger autonomy to subnational institutions adopted.
- Gender equality, environment and conflict-sensitivity criteria effectively applied in subnational development planning, budgeting and monitoring in at least 3 S/Rs.

Activity Result 4.1: System and capacities strengthened to support S/R-level participatory strategic and annual planning and budgeting, integrating the SDGs, in 3 S/Rs.

With increasing fiscal decentralization in the country, and a possible federal system to be established in the coming years, strategic development directions at the S/R level cannot be given any longer by Union-level planning bodies, as was the case under the former socialist-inspired centralized planning system. Hence, the Project will support the introduction in at least one S/R of strategic planning approaches adapted to the current bureaucratic model and capacities in order to address the main development challenges specific to each S/R and help them capitalize on their comparative developmental advantages. Lessons learnt in supporting the development of the Rakhine Socioeconomic Development Plan (SEDP) in 2015-2016 will be invoked in this exercise. As Agenda 2030 calls for increased responsibilities of local actors in implementing the SDGs, the Project will support the definition of an SDG localization strategy in line with the MSDP and support its implementation throughout Output 4. UNDP proposes to start in each targeted S/R with a strategic planning process limited to a small number of development priorities (e.g. agriculture, urban development, migration, industrialization, transports, ecosystems, etc.) chosen by S/RGs, with the option of incrementally moving towards a comprehensive S/R integrated development plan. The Project will also support the systematic inclusion of gender equality, environmental and conflict reduction considerations in S/R strategic planning, by facilitating the application at S/R level of relevant policies and laws. Importantly, the Project will work with existing committees and government processes for all of the above work, whether Planning Commissions, Township Planning & Implementation Committees (TPICs), Environmental Conservation and Climate Change Coordination Committees (E5Cs), Disaster Management Committees and more, and not propose to establish new project-driven ones. Eventually, the goal is that S/R Strategic Plans become effective resource mobilization tools for S/RGs, for Union Government funds, donors and private investors and the Project will provide support in devising resource mobilization plans and capacities in S/RGs to that effect.

Activity Result 4.2: Model for participatory Township planning and budgeting, and accountable project execution, successfully implemented in at least 5 townships and capacities built for wider scale replication.

This Activity Result deals with the strengthening of systems and capacities for participatory evidence-based

integrated planning and budgeting, informed by village-level priorities and involving women and men equally, at the Township level, led by TPICs, under the helm of Township Administrators. The end-objective is to stimulate more generous discretionary grants from Union and S/R budgets to Townships. Each targeted Township will benefit from the Project support for 3 consecutive years, with decreasing of technical support each time to stimulate the growth of local capacities to fully lead the process. Each round of planning will be accompanied by the allocation of a formula-based Township Grant, based on population and area figures (approximately 1 USD/cap.), to support projects prioritized through the planning process. These grants will be executed by Township-level departments, using Myanmar procurement and financial management rules and with social accountability mechanisms to keep with the intention of reinforcing people-centred public-sector management. The Project will closely align with the TDLG project which supports inclusive township planning in Mon State and Bago Region where experience will be exchanged regularly. The project will also cooperate with UNDP's GRSP project to integrate environmental resilience considerations into planning at S/R level. Key counterparts will be MoNREC and MoSWRR, and the various committees that they oversee, for mainstreaming systematically natural hazard and climate change risks into Township planning and project appraisal and execution. Specific attention will be given to developing capacities of female W/VTAs and staff in Township Administrations and to familiarizing TPICs with gender mainstreaming tools in local development planning, in order to increase the gender sensitivity of local plans and budgets. Finally, the Township annual planning process will also be the occasion to strengthen the conflict resolution and social cohesion skills of W/VTAs, so as to guarantee that local development contributes also to greater societal cohesiveness.

With a view to developing government capacities to upscale the Township participatory planning and discretionary budgeting model, the Project will support the training of S/R Planning Facilitation Teams, composed of staff from most concerned departments (Planning, Budget, PAPRD, GAD, etc.), as well as champion TAs and W/VTAs. These S/R PFTs will be tutored to gradually take charge of facilitating Township-level planning throughout their S/R, beyond the target Townships supported by SERIP. UNDP will also support partnerships between the MoPF and qualified Myanmar support organizations, from the non-government or private sector, to help the Ministry roll out the proposed approach to other S/Rs.

Activity Result 4.3: Policy frameworks, institutional and operational capacities strengthened to deliver administrative and municipal services more efficiently and accountably in S/Rs.

This Activity Result focuses on improving the effectiveness, responsiveness in the delivery of administrative and municipal services (i.e. urban services under the responsibility of DAOs). For the latter SERIP will focus on so-called urban environmental services (i.e. solid waste management, drainage and public park maintenance) in targeted S/Rs. One the one hand, the Project will carry on UNDP's support to the national network of Township-based One-Stop Shops for administrative services, implemented under the leadership of GAD, and involving up around 10 Departments. To date, OSS are present in 316 out of 330 Townships but the level of service provided is crippled by important effectiveness and efficiency issues.⁵⁸ The Project will support the Inter-ministerial OSS Working Committee in its attempt to test and roll-out improvements to the OSS model country-wide. UNDP will also engage directly with the Departments present in OSSs to review and help improve their service processes. On the other hand, UNDP will pioneer support to municipal governance in Myanmar through the delivery of urban environmental services (hereafter "urban services") delivered by DAOs, the only decentralized governance agency in the country (but still reporting to S/R MDAs). DAOs, which only service urban wards, are self-funded. In this quality, DAOs represent one of the "most significant interface between the Myanmar state and the general public" and "have strong functional, structural and political significance to Myanmar's transition".⁵⁹ Yet, DAOs also face serious capacity issues, both technical and financially, to enhance service quality and keep up with the soaring demand, given the rapid urbanization rate in the country.⁶⁰ UNDP, in 3 medium-size cities (Mawlamyine, Bago and Sittwe), will support the local MDA and the Township DAOs of these locations for: (i) enhancing service quality, including through technological and green innovations, enhancing business processes and the provision of small grant support (150.000 \$/location) as well as by supporting pilot social accountability mechanisms (e.g. Citizen Score Cards); (ii) increasing tax collection in a socially-minded manner through regulatory amendments, training and ICT solutions; (iii) contributing to the institutional development of municipal governance entities, including their elected councils; and (iv) revising S/R municipal laws in a manner that strengthens democratic governance at the local level. These four outputs will integrate a gender and conflict sensitive approach taking

⁵⁸ Shotton, R. "One Stop Shops in Myanmar: An entry point to improve local public service delivery and local governance", UNDP/GAD, July 2016.

⁵⁹ Asia Foundation, The. *Municipal Governance in Myanmar: An Overview of Development Affairs Organization*, July 2015.

⁶⁰ In Bago City, the DAO is only able to collect 71% of daily disposed garbage (Source: Bago Township Development Committee) while the City forecasts a possible doubling of its population over the next 5 years (currently 216,000).

into account that these urban services create a lot of local employment and can be a tool for inclusion and transition into the world of work, promote gender equality in public spaces, introduce gender equitable participation at the local level, promote gender sensitive planning and budgeting of local services. It is also critical to better link rural and urban development planning processes, which tend to be disconnected currently given the institutional set-up. UNDP's support to urban service delivery will be aligned with principles and standards organizing these from the Union level (e.g. National Waste Management Policy).

The Project will make sure that DAOs are fully engaged in the Township participatory planning processes supported in activity result 4.2 and that the notion of peri-urban development and urban-rural linkages, especially for transport, infrastructure and economic development, be increasingly addressed by the TPICs. The Project will also help create synergies between urban-based and rural-based delivery of environmental services (done by line Departments in VTs), such as through developing jointly-managed landfills.

Activity Result 4.5: Reforms for decentralization supported by evidence-based capacity development and policy advice.

This Activity Result seeks to facilitate the scale-up of successful subnational governance and public-sector management models and innovations piloted by SERIP as well as provide on-going technical advisory support to GoM for policy and institutional strengthening processes relevant to decentralization. UNDP's support will align with the General Administration Reform Framework, in particular Outputs 4.1. and 6.1 related to the capacity development of the IDA and the decentralization process.. Concretely, the Project will continue UNDP's support, initiated in the previous CPD cycle, to administrative training institutes such as IDA for GAD and the CICS for UCSB in charge of induction and in-service training of senior staff serving in subnational administrations, with the aim of introducing stronger focus and modules relevant to people-centred governance, service-minded public-sector management and gender-sensitive service delivery. On the policy formulation side, the Project will invest in documenting and disseminating results and lesson learnt under Output 4, in preparing policy briefs and conducting options study, to inform on-going policy discussions and processes at Union-level relating to the broader decentralization theme. This will include as well conducting perceptions survey on the state of local governance in Myanmar, linked to the nation-wide Local Governance Mapping conducted by GAD and UNDP in 2014, but with a narrower focus, both thematically and geographically, to increase the responsiveness of decentralization policies in the making. This area of work will also involve exploring innovative measures to improve efficiency and quality of local administration and service delivery (e.g. digitalisation). All support to formal policy processes related to decentralization under this Activity Results will benefit from the Project's offer under A.R. 2.2 for live-testing improved policy development mechanisms at the centre of government.

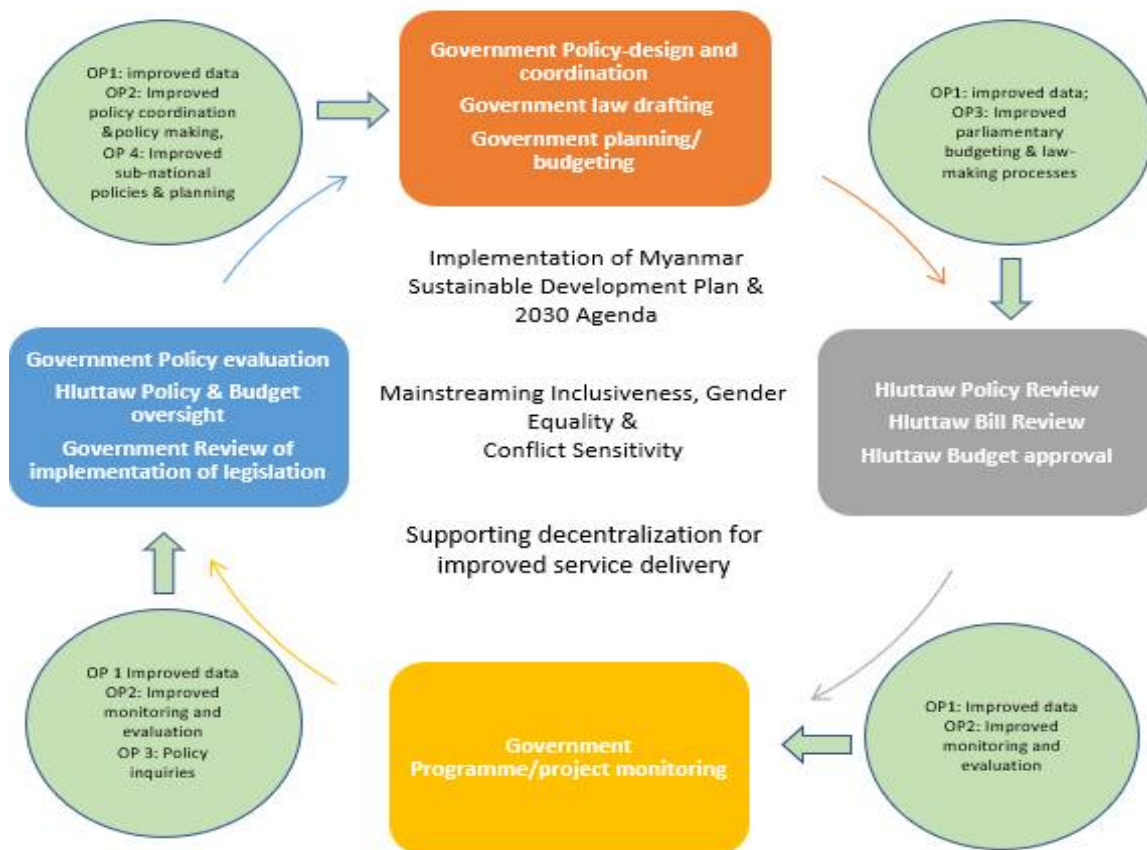


Figure 2. SERIP contributions to improved core government functions across the policy/ budget/ legislative cycle

Multi-level approach

SERIP adopts a multi-level approach to supporting governance strengthening in Myanmar. This is justified by the remaining high level of centralization in the country's public-sector management mechanisms and culture but also by the increasing, if still disorganized, transfer of functions and fiscal resources to the subnational level. Working on effectiveness and responsiveness of policies and public expenditures, it is critical to work on mechanisms to better link decision-makers, who remain overwhelmingly at the apex of Union and S/R governments, with ground-level realities, in all their contextual diversity and changing governance capacities. The multi-level approach also allows to better accompany the shaping of the type of decentralized system of governance that Myanmar aspires to, in which a careful distribution of political, administrative and fiscal power between Union, S/R and Township levels⁶¹ and strong, yet balanced, inter-governmental relations will be critical for success.

Figure 2 below summarizes the expected results by governance level to better understand how SERIP integrates the necessity of a multi-level approach for effecting change on the effectiveness and responsiveness of core government functions. At the Union level, SERIP will focus on reinforcing the executive coordination of the machinery of government and parliamentary oversight for policy processes as well as the mainstreaming of SDGs into national development planning. The results of this support should benefit development processes over the whole country as it will allow leaner, more agile, responsive and accountable policy management on the country's key development priorities. The S/R level, represents a strategic level of intervention with regards to the Project's intention to increase public sector effectiveness: with higher levels of fiscal power transferred every year to S/R Governments, their capacity to programme these resources as strategically and cost-effectively as possible to address development gaps and inequalities applicable to their territory, taking into account major bottlenecks and risk factors but also their comparative advantages, is essential. S/R Governments and Parliaments represent also at this stage the democratic institutions closest to people⁶²: improving their performance and inclusivity is therefore critical for securing a strong social contract. At the Township level, SERIP will build capacities of state and non-state stakeholders to prioritize and scrutinize

⁶¹ Assuming the future system of local governments will be structured this way.

⁶² Putting aside the Township Development Management Committees, with a mixed make-up of bureaucrats and elected representatives (albeit indirectly).

democratically the use of their development resources, which will in turn build stronger demand for fiscal decentralization and service delivery autonomy to the Township level. This is also where the Project will place extra efforts in mainstreaming understanding of and support to gender equality, environmental resilience and conflict/social cohesion dimensions of sustainable development.



Figure 3: Multi-level Results Approach

Area-based Approach

As recommended by the independent outcome evaluation of the 2012-2017 Country Programme, UNDP plans to use an area-based approach for SERIP by landing the implementation of subnational-level activities foreseen under the four outputs over a set of 3 S/Rs. This area-based approach is critical to be able to treat core government functions as a whole and support responsible executive-legislative relations and reach the intended impacts on institutional effectiveness and responsiveness. In fact, the area-based model will go beyond SERIP and involve as well other UNDP projects in order to demonstrate the combined effect of all CPD components towards unlocking the country’s development potential. SERIP bears a central role in this endeavour as it strengthens the machinery of government through which other UNDP projects will be working to deliver their outputs. It will help build a stronger sub-national governance backbone that can deliver coherent development impact from support provided through more sectorial projects, focusing on peace & justice, environmental conservation, climate change adaptation or economic development.

SERIP will work primarily in the Regions and States of Bago, Mon, Rakhine and Kachin but individual outputs may also be active in other regions and States, where appropriate. The selection is based on the legacy of UNDP’s work so far, and continuing involvement in 4 of them (Bago, Mon & Rakhine, Kachin) as well as to new opportunities for scaled-up SDG-related programming (see further below). The choice of Rakhine and Kachin States is also driven by the urgency to propose there viable and inclusive local governance and local development models that can help reduce conflict drivers and facilitate conflict recovery.

Given the specific context of UNDP current programming in each of these 4 locations, SERIP activities will be rolled out gradually under the four outputs in each S/R over the 5 years of the Project. This is also for reasons of budget and capacities. Annex 2 presents in detail the proposed phasing schedule and number of township-level locations targeted in each S/R.

Below is a short summary of how the Project will unfold in each location:

- **Bago Region:** the Project will build on the support to Township planning under the TDLG project and to the Region Hluttaw, and on the strong demand from the Regional Government for additional UNDP support. Other facets of the Project relating to executive coordination, strategic planning and urban service delivery (in Bago City) will all be initiated in the Region.

- *Mon State*: the Project will follow the same pattern as in Bago, Support to urban services will be initiated in 2019 in Mawlamyine.
- *Rakhine State*: the Project will build upon the Rakhine Advisory Commission Recommendations to continue supporting in 2018 integrated S/R planning & budgeting and start Township planning and grants in 5 Townships.⁶³ Support to executive coordination will be initiated in 2021 and in 2020 for urban service delivery. Parliamentary support was initiated in 2018 and continues to scale up.
- *Kachin State*: The project will support improved local governance in Kachin State from 2020, building on the Rakhine Area-based Implementation model. The Kachin support will include parliamentary support and local governance based on an updated local governance mapping. The project will explore how support can be provided to deliver services also to marginal groups, including IDPs, contributing to durable solutions.

Annex 2 also shows the full list of Townships already selected (5 in total) in Rakhine State, in agreement with concerned S/RGs, for Project support. Poverty, exposure to disaster and climate change risks and the conflict context, will be determining criteria for finalizing the selection.

Linkages across UNDP Country Programme

Integrated programming has guided the design of the new UNDP Country Programme (CP) to better address the nexus between peacebuilding, governance, natural resource management/resilience and balanced, inclusive growth, and the vertical linkages between subnational and national governance. SERIP plays a central role in the new CP as it supports a stronger machinery of government *and* through a multi-level approach. It will therefore contribute to the implementation of all other UNDP Projects that plan to engage on policy-level changes, to work through the state's planning and budgeting system, to mobilize parliamentarians around critical development issues or to build service delivery capacities at the local level. Conversely, SERIP will also benefit from the work of other UNDP Projects (project titles not final) as shown below.

- *Civil Service Reform Project (CSR)*: CSR will organize high-level leadership training opportunities for senior decision-makers at Union and S/R Government levels and assist therefore SERIP's support to the role of the executive coordination of government in policy management. Furthermore, the CSR Project will be able to pilot new human resource management approach and tools in the main partner government institutions of SERIP, including at S/R level. This will complement SERIP's institutional strengthening inputs which deal more with technical rather than managerial aspects. Finally, the CSR Project also plans to pilot specific civil service systems at sub-national level to support the deconcentration of line ministries and the functioning of S/R Hluttaw administrations, hence contributing to SERIP's goal of reinforcing decentralization.
- *Township Democratic Local Governance Project (TDLG)* TDLG is actively supporting democratic local governance by giving local people a voice to influence annual township planning and budgeting through elected representatives, being Hluttaw members, ward and village tract administrators and representatives from civil society organizations in Mon State and Bago Region. The project contributes to the development of a democratic local governance policy framework for the Government of Myanmar to advance its decentralization agenda. SERIP output 4 is active in Rakhine State, deploying the same township planning model that TDLG supports implementation of in Mon State and Bago Region. The project will coordinate all activities relevant to both projects actively and also cost share on technical and management staff.
- *Sustaining Peace and Community Cohesion Project*: Sustaining Peace Project will be the main channel for UNDP to support greater awareness and skills on conflict sensitivity among government agencies national & subnational levels, helping therefore SERIP in its efforts to support systematic conflict-sensitive policy management, planning and budgeting in the country's governance system. Finally, the project will also support in the framework of the peace process policy dialogues around federalism, the sharing of national wealth, citizenship and identity, topics that will clearly influence the shape of the decentralization reform which the SERIP will also contribute to formulating.
- *Support to Accountability and the Rule of Law Project (SARL)*: SARL will complement SERIP's efforts in strengthening core government functions for public finance management, as it has a focus on fighting corruption and increasing government accountability, including for protecting human rights through public action. SARL will pilot specific activities reinforcing administrative accountability systems in SERIP's beneficiary institutions as well as strengthen the representation and oversight function of Parliaments, complementing SERIP's work on their law-making role. SERIP will also benefit from the

⁶³ To be conducted and cost-shared with UNDP's upcoming GEF-funded Local Development & Climate Change Project, from 2018.

fact that SARL will continue strengthening and extending the network of Rule of Law Centres, set up with UNDP's support since 2014, as these Centres can facilitate the inclusion of vulnerable groups (e.g. landless farmers, women, LGBT populations, displaced populations) into consultative and decision-making processes as well as provide capacity building assistance to public institutions on adherence to rule of law principles.

- ***Governance for Resilience and Sustainability Project (GRSP)***: GRSP works on the upstream component of the environmental / resilience mainstreaming goal supported by SERIP. This project will support finalization and adoption of various policy instruments linked to environmental conservation, climate change and disaster risk management, as well as specific assessment and programming tools, which SERIP will then help mainstream in regular policy and public sector management processes such as policy formulation, planning, budgeting, legislative enactment by Parliament, monitoring and evaluation. At the Township level, SERIP and the GRSP will join efforts in Rakhine State, in supporting the planning and funding of local development initiatives supporting environmental conservation, climate change adaptation and resilience to natural disasters.
- ***Inclusive Growth and Employment Creation Project (IGECP)***: this Project will join efforts with SERIP in supporting the CSO's capacities for producing relevant statistics for evidence-based policy-making for economic development and for supporting policy processes in this area. The Project will participate alongside SERIP in supporting targeted S/R strategic planning initiatives, linking economic aspects to social and environmental, as well as conflict reduction, objectives. At the Township Level, the IGECP can provide technical support to DAOs on their role for local economic development, complementing the support already provided by the SERIP to DAOs on the management of urban services.

Annex 3 presents a more detailed inventory of cross-linkages between SERIP and the rest of UNDP portfolio.

Resources Required to Achieve the Expected Results

Being first and foremost an institutional strengthening project, the Project needs first and foremost human resources. It also needs grant money to support the Township planning processes and upgrade of urban services. The Project will only carry out limited direct procurement of equipment.

Human Resources

Human resources will be coming from Project staff, Government counterparts, UNDP Country Office and networks, consultants and implementing partners.

- **Project staff**: it will include approximately 5 international staff and 25 national staff, divided into a Project Management component and a Technical Advisory (TA) component. Not all staff will be working full time on SERIP, as some will also share their time with other UNDP projects to stimulate increased integration. Project staff (international and national) will be present at Union level at the Project Office in Nay Pyi Taw; at the S/R level with national experts embedded in S/R Government office, and national / international staff in S/R Hluttaws. At the Township level, Project Officers will support the Township planning process and oversight of grant execution, as well the urban service support. TA staff will provide policy-level inputs and day-to-day capacity development to GoM partners, and contribute to training workshops and other knowledge events. They will also take charge of organizing and accompanying study visits abroad. Mid/short-term consultants will also be recruited to perform specialized tasks requiring expertise not available with Project staff or not reconcilable with their workload.
- **Government institutions**: Several of the Project activities will be under shared responsibility with partner government agencies, such as training activities delivered by government training centres in MoPF and the Myanmar Hluttaw Learning Centre with technical guidance and back-up from Project staff and experts. Government staff will also execute Township grants, with oversight from Project staff.
- **Responsible Parties**: Some Project activities are planned to be executed by contracted parties, especially when they require specific expertise over a solid period of time and/or not available to UNDP, or when the cost-effectiveness of outsourcing such activities rather than using Project staff is higher (in particular for activities in remote locations). So far, one Responsible Parties have been active under this Project: 1) the International Parliamentary Union (IPU) for Output 3, pursuant to an existing successful partnership since 2014; and 2) Other execution partnerships may be introduced in particular for supporting S/R strategic planning and urban service delivery. UNDP will give priority in finding qualified Myanmar support organizations and companies (e.g. policy institutes, NGOs, market research companies, management training companies, etc.) as Responsible Parties.

- Contracted Service Providers: the Project will hire regularly specialized services for short-term event management, training programmes, research studies, evaluations, monitoring and opinion surveys, etc. from Myanmar and international vendors.
- UNDP Country Office: through its Programme structure, the CO will provide resource mobilization, quality assurance and policy advice in facilitating learning cycles, strengthening the planning model and promoting policy change to the Union government and implementation support. The CO's Operational structure will support day-to-day administrative and financial needs for project implementation.
- UNDP Regional and Global Networks: **UNDP Regional Hub in Bangkok** will provide policy advisory and networking support, bringing best practices from the region in areas of interest to the Project to Myanmar. The Regional Hub assistance will be particularly critical for: the integration of SDGs, gender, inclusiveness and sustainability criteria(GISC) mainstreaming, and urban service delivery. The Regional Hub will also be instrumental in organizing South-South exchanges within the Asia/Pacific Region and will provide opportunities for Project beneficiaries to participate in regional learning events. **UNDP Bureau for Policy & Programming Support (BPPS)**, in New York and Brussels, will provide policy advisory and technical back-up support, for the work planned on supporting centre-of-government functions, through its Global CGF Programme, and on local governance through its Global Local Governance Local Development Programme, implemented through **UNDP ART Initiative**.⁶⁴ Contributions from these global programmes will consist in human resources (remote back-up, field missions) and seed funding.

Equipment and other resources

The Project will only make limited asset purchases, probably restricted to office and ICT equipment used by Project staff and, on an occasional basis, by government partners in the framework of piloting new systems / functions for which government assets may not be available. There is no large-scale asset procurement plan for this Project.

The Project will cover all other costs related to the capacity development, day-to-day policy support, meetings, travel and grants to participating Townships.

Partnerships

UNDP will mobilize different technical partnerships for implementing SERIP. Some have already been formalized, as explained below, while others still need to be explored. In terms of financial partnerships (which can also be technical at the same time), UNDP has already secured support for its local governance work in Mon and Bago **Sweden and Australia** also contribute financial resources to SERIP, through their contribution to UNDP's Country Programme. **The Governments of Canada and Japan** support the project's interventions in Rakhine State (SERIP Outputs 3 & 4). Partnerships with other donors are currently being discussed by UNDP with the community of donors present in Myanmar, as well as through regional and global funding instruments.

Technically, UNDP will coordinate implementation of SERIP with the development partner community in Myanmar through the newly-reformed donor coordination structure led by the **Donor Assistance Coordination Unit (DACU)**, attached to the SCO. While none of the existing Sector Coordination Groups (SCGs) deal specifically with governance and institutional reforms, SERIP will benefit from UNDP's presence in the following SCGs: Statistical Quality Development, Macroeconomic Management, Social Protection & Disaster Management,⁶⁵ Environmental Conservation⁶⁶ and Gender Equality and Women's Development. Furthermore, UNDP also co-facilitates with UNICEF an informal donor coordination group on subnational governance that also serves as a very useful platform to discuss potential synergies between development projects in this area at the S/R level.

Following is a review of the most promising partnership opportunities (or already established) for each of the Project's outputs.

Output 1: Data for Development

UNDP has been collaborating closely with the **World Bank** in its support to the CSO and reform of the statistical system in Myanmar and will continue this collaboration in the new CP. The WB has coordinated the

⁶⁴ [Articulation of Territorial Networks](#).

⁶⁵ Co-facilitated by UNDP

⁶⁶ Ibid.

preparation of the NSDS with the GoM and will play a critical in supporting overall coordination to its implementation, as well as organizing external support. Also, the WB runs globally a Trust Fund for Statistical Capacity Building, which will be mobilized for Myanmar and potentially fund the costly upgrade of the IT infrastructure used by Myanmar's statistical system, which is needed for UNDP's efforts in strengthening methods and tools in CSOs and line ministries for producing harmonized and accurate data, to deliver impact. UNDP will also be collaborating with the WB for the regular conduct of the Myanmar Livelihood Conditions Survey. For establishing the CSO's Statistical Training Institute, UNDP will collaborate with the **GIZ**. UNDP will work closely as well with **UNFPA**, who is co-chair of the Statistics SWG and provides key support to the CSO for census programmes, as well as with **UNICEF, UNSD WHO, ILO** and **UNESCO**, who also support programmes to enhance statistics management in their respective partner institutions in government. UNDP will partner with **UNESCAP** in facilitating the Voluntary National Review Process.

Output 2: Policy Management

UNDP plans to work closely with the **Myanmar Development Institute** established in 2017, for supporting the role of the MoPF in providing the technical leadership around the implementation of the MSDP and sectoral policy and planning. The MDI is a governmental think-tank dedicated to economic development, funded by the GoM and **KOICA**. UNDP will also collaborate with the **GIZ**, which has a standalone SDG support project as well as with sister UN agencies (**UNICEF, UNFPA, WFP, UN-HABITAT, UNESCO, ILO, FAO, WHO, UNCDF**), the **World Bank** and the **Asia Development Bank (ADB)**, as all play a leading role globally and in Myanmar in supporting countries reach specific SDGs.

UNDP has a global partnership with the **WB** on strengthening core government functions in fragile / transition states, which will be mobilized in the framework of this Project. The WB already has an on-going programme on public finance management at the central level, with the MoPF (PFM Secretariat) and line ministries (Health, Education). This partnership will be critical to raise awareness among senior officials on the necessity of a coordinated and gradual approach to strengthening core government functions in Myanmar, including for the executive coordination of policy management. The partnership will be mobilized at the onset of the Project to conduct an exhaustive CGF diagnostic using a tool developed jointly by the UN and WB.⁶⁷ UNDP also plans to collaborate for Output 2 with national think-tanks, in particular the **Renaissance Institute** and **MDI**, given their proximity to centre-of-government institutions, and with the EU-funded Programme **MyGovernance**, which also seeks to improve effective policy making. The Programme functions as a capacity development facility, with great flexibility in the topics and institutions targeted, hence it represents a very good source of joint programming for SERIP for supporting policy management at the centre of government. In the same area of work, UNDP will explore technical partnership opportunities with **The Asia Foundation (TAF)**, which has recently conducted research on policy management in Myanmar⁶⁸ and plans to expand its activities in this area. The **International Development Research Centre (IDRC)** of Canada will also be a prime partner for Output 2 as it has started a technical assistance and grant programme to Myanmar think-tanks. UNDP will closely coordinate with IDRC when it initiates similar support as foreseen under Output 2.

Output 3: Parliamentary Processes

Several other development partners support parliamentary processes in Myanmar, but most tend to have a narrow focus (usually at the level of specific Committees or specific skills) and most initiatives are still concentrated at the Union level – although work with S/R Hluttaws is planned to gain momentum in the coming period. UNDP represents the only development partner with the ability to deliver a holistic approach to strengthening parliaments, including their administrations, at Union and S/R level and to foster more coordinated approach across governance institutions at all levels, through its work with executive institutions, as demonstrated in this Project. For Output 3, as already explained, UNDP will work with the **IPU** as a Responsible Party. IPU brings key expertise on parliamentary procedures and skills-building and opens up the largest network of peer support worldwide on parliamentary processes. In this partnership, the IPU will be in charge supporting the development of Learning Centre, including through ICT upgrades, surveying and building capacities of MPs, facilitating South-South Exchanges (SSEs) for MPs and establishing one of the 4 Regional Hubs. UNDP will also collaborate with **MyGovernance, World Bank, and IDEA** programmes on supporting Hluttaws' role in PFM matters and with the **Westminster Foundation for Democracy, The Hanns Seidel Foundation** and the **Parliamentary Centre of Canada** and **DfID** (Programme for Democratic Change) on MPs' skills building and supporting stronger parliamentary administrations.

⁶⁷ <http://www.undp.org/content/undp/en/home/librarypage/democratic-governance/core-government-functions/-re-building-core-government-functions-in-fragile-and-conflict-a.html>

⁶⁸ Asia Foundation, The. "Strengthening Government Policy-Making in Myanmar", and "Strengthening Policy Institutes in Myanmar", Policy Notes, Feb. 2016.

Output 4: Subnational Governance

There is a wide array of current and potentially future thematic and geographical partnerships for this Output. Cooperation will be sought in particular with the following institutions and programmes:

- **The World Bank**, for its work on the PFM machinery from Union to Township level and for its work on village-level development (National Community-Driven Development Programme - NCDD-P) with the Department of Rural Development (DRD). The NCDD-P supports the introduction of participatory planning at the VT level, working with community-based committees and distributing village grants to increase access to services and development opportunities among the rural poor, similarly to what UNDP does through Township Administrations. The NCDD-P plans to cover 63 townships in all 14 States/Regions over the coming years. In Townships where both NCDDP and SERIP will be implemented, links will be established to ensure synergies in the building of strong local development planning systems and capacities and complementarity in grant funding. SERIP will benefit from the NCDD-P's work on empowering local communities and civil society organisations, while NCDD-P will benefit from UNDP's institutional strengthening approach to better link up community development to country systems. UNDP will also collaborate with the World Bank at policy level on building a suitable decentralization policy framework.
- **DfID**: its CGG Programme⁶⁹, seeks to improve engagement between government and civil society. It supports civil society and local authorities to make public institutions more responsive to people's service delivery and economic needs. Since SERIP works prominently on building the supply side of local governance systems, partnership with DfID, as well as other partners such as USAID and the EU who are also supporting civil society strengthening at the local level, will be particularly critical to make sure that the subnational institutions also meet strong demand-side representation and advocacy, and are subjected to their social accountability.
- **The Asia Foundation & Renaissance Institute**: as a leading research and analyst of subnational governance context and challenges in Myanmar, TAF's work has informed the project design. TAF is now implementing a technical assistance programme to several S/RGs, including in Bago,⁷⁰ opening opportunities for partnership with UNDP. TAF also supports, with the Renaissance Institute, the work of DAOs and MDAs in Bago Region, in particular for local tax collection. UNDP will design its support to the DAO in Bago City to be complementary to the work of both organizations and seek to implement joint activities whenever possible.
- **The Centre for Economic & Social Development**: is an independent think-tank dedicated to the economic and social transformation of Myanmar. It undertakes participatory policy research studies on poverty reduction, sustainable development and good governance. The CESD has recently started supporting certain S/RGs (e.g. Bago)⁷¹ to think more strategically and inclusively about their long-term development. They help them mobilize issue-based multi-stakeholder platforms. UNDP is interested to collaborate with CESD for S/R strategic planning linked to SDGs.
- **Asia Development Bank (ADB)**: the ADB has a large urban development programme in the country, funding major infrastructural upgrades for urban services and providing technical assistance for the running of urban services and long-term city development planning. As the ADB's urban programme is active in Bago City and Mawlamyine, UNDP will benefit in these locations of ADB's support to the cities' infrastructural and equipment needs to provide complementary support on management systems and soft skills needed to achieve inclusive, accountable and cost-efficient service delivery.
- **The My Justice Programme (EU/British Council)**: UNDP will continue the collaboration initiated in 2016 with this programme for building capacities of W/VTAs, women representatives and Township Administrators in community dispute resolution and interest-based negotiations.
- **UN-HABITAT**: partnership will be developed in the area of the urban service delivery and the potential links with urban development planning, which is UN-HABITAT's core business in Myanmar, especially in Mandalay and Yangon. UN-HABITAT brings valuable experience on urban issues in Myanmar as well as partnerships with government and non-governmental institutions supporting resilient urbanization in the country.
- **Local Governance Initiative and Network (LOGIN)**: is a South and East Asia network aiding reform agendas in favour of greater decentralisation and the strengthened role of local governments. It includes elected representatives, training institutions, think tanks, government departments, non-governmental

⁶⁹CGG: Centre for Good Governance.

⁷⁰ TAF also works in Kayah and Shan States, and in Ayeyarwady Region.

⁷¹ Currently, the CESD advises the Mandalay Regional Government for its Mandalay Economic Development Strategy.

organisations and inter-governmental organisations. UNDP Myanmar is a member of LOGIN and has benefited from this partnership as a way of stimulating peer to peer collaboration for Myanmar decision-makers in the area of local governance and contribute to policy discussions.

Gender mainstreaming

- **UN-Women, the UN Gender Theme Group and the Gender Equality Network** for work in support of mainstreaming gender equality in policy process and in planning & budgeting at all levels.

Risks and Assumptions

Below is a review of key risks, and corresponding mitigation measures, related to each of the higher-level results sought by the Project. A more detailed review of risks categorized according to their nature (political, security, institutional, operational and fiduciary) is presented in the Risk Log in Annex 6.

Result 1 / Evidence-based, implementable and effective policies, laws and plans gathering sufficient cross-stakeholder consensus to achieve intended results become the norm: The feasibility of impacting policy-making and policy coordination processes through demonstrating improved methods, building capacities for collecting and analysing evidence, and facilitating more structured and productive connections between institutions at the centre of government, between the executive and legislative branches, and between government and non-state stakeholders, rests for a large part on the assumption that the political leadership accepts that policy effectiveness depends also on the policy process, and that this leadership is ready to adopt necessary changes. Yet, decision-making processes are highly political by nature as they deal with the distribution of power between different stakeholders. There is a risk that some of the Project's proposed interventions (particularly on executive coordination at the center of government or parliamentary procedures) are seen as too intrusive into the state's decision-making machinery and existing power relations. The Project also purports that the lack of cross-institutional integration in policy management can be addressed through process improvements, but it also needs a good level of cohesion among the leadership of government agencies, including those that are still controlled by the military. This cohesion, at Union and at S/R level, can be deeply affected by changes in the political landscape, especially after the upcoming 2020 general elections. Finally, this result is also premised on the production of credible and impartial official statistics to guide the machinery of government in its decisions.⁷² This requires strong political will to empower the CSO legally, institutionally and financially, as recommended by the NSDS, to regain control over what is an extremely decentralized national statistical system at this stage.

→ ***Mitigation approach:*** *All activities deemed politically sensitive will be preceded by a political economy analysis.⁷³ The Project deals with different state machinery functions, and for some, such as data production, local governance or law-making, UNDP has already established a strong trust-based relation with concerned institutions (e.g. CSO, GAD, MoPF, Union Hluttaw, UAGO), which will facilitate implementing the proposed work plan. At the S/R level, UNDP is already working closely with S/RGs in the 4targeted S/Rs. With cabinet institutions, UNDP will propose a flexible "capacity development facility" approach, that is less chartered and can respond to short-notice demands for technical expertise and training in a range of organizational development areas, which may suit better the sensitivity of their functions. Decision-makers will be systematically involved in diagnostics and assessments preceding the planning of actual support to be provided to their institution and UNDP will propose an incremental approach to capacity development, starting with more technical and less invasive areas first to build trust, and then engage dialogue on addressing more strategic aspects. Where national strategies and action plans already exist (e.g. NSDS, National Environmental Plan), framing the Project's support strictly in line with action plans presented in these documents will also increase acceptance from beneficiary institutions. Finally, through the Project Board, UNDP will be able to maintain a critical dialogue with government to solve arising issues of a political nature, and reassign activities towards less sensitive areas of work and institutions if needed.*

Result 2 / Higher levels of decentralization in public sector management make institutions more responsive to people's needs and accountable: The development of a subnational public sector management model that is participatory and inclusive, through local development plans funded through discretionary grants and service-oriented and cost-efficient delivery of administrative and urban services, depends greatly on the GoM's interest in the decentralisation agenda. To be successfully upscaled it also requires an enabling regulatory framework and the GoM's success in increasing its revenue base, including from ODA funding, to increase the level of resources devolved to local development. The relevance of the proposed model piloted in

⁷² See Principle 2 of the [United Nations Fundamental Principles of Official Statistics](#).

⁷³ This will be done using UNDP's [Institutional Context Analysis](#) tool.

the Project is also linked to the assumption that the Township continues to be the substantial level for the delivery of public services and local infrastructure investments. This result is also exposed to institutional risks related to the capacity of and incentives for planning and budgeting stakeholders at subnational level (MoPF, Planning Commissions, PFICs) to gradually take ownership of the local development planning model introduced at S/R and TS levels and replicate it; and on fiduciary risks related to the delivery of grants through government bodies (Township Administrations) that are inexperienced in managing projects according to international standards.

➔ *Mitigation approach: SERIP addresses these risks through continuous dialogue with GoM, including through the Project Board, by investing substantial resources in analysing and documenting the work achieved to inform decentralization policy options and by advocating for increased decentralization during governance fora that will be organized at Union and S/R levels. By working closely with MoPF and GAD at Union and S/R levels, the Project will reduce the risks that results demonstrated at the TS level, in terms of new tools, processes and capacities built, remain there and fail to inspire larger-scale reforms. Also, Planning Facilitation Teams (PFTs) that will be supported at the S/R level, composed of government staff and W/VTAs, will be capacitated to replicate the TS planning and budgeting process without UNDP support. In the same vein, the Project will organize regular learning cycles that allow local authorities and UNDP to address emerging risks and continuously improve intervention procedures. Regarding fiduciary risks, as per UNDP rules and regulations, micro-HACT assessments are conducted with each funding beneficiary to guarantee that minimum conditions are present for the level of accountability required by UNDP donors or, if not, that preliminary measures are taken by both these institutions and UNDP, to guarantee these.*

Result 3 / The needs of the public, including vulnerable groups, are understood by public institutions and systematically addressed in their actions: a central assumption in SERIP is that making available tools and mechanisms for including public impact analysis in the policy formulation, law-making and budgeting, with a particular focus on vulnerable groups, and demonstrating their value will ensure uptake by the GoM. There are a few main risks surrounding this assumption: (i) tools and methods mainstreamed by the Project on impact analysis and advanced consultation may face resistance by counterparts as they complicate the process. (ii) Resistance based cultural and political underpinnings may be in particular to acknowledging vulnerability (e.g. gender, ethnicity, religion); (ii) vulnerability criteria underlined by the Project are seen as overly linked to “foreign” agendas; (iii) the very institutions mandated to carry the mainstreaming agendas remain weak below the Union level, both in terms of presence and funding, or, in the case of conflict-sensitivity, the main institutional actors involved (e.g. Tatmadaw, Ministry of Border Affairs) are not targeted by this Project. There are also risks specific to each vulnerability criteria taken separately. First, for **gender equality**, limited women’s presence in the political leadership, especially at the subnational level, limits the championing of gender mainstreaming in decision-making processes; second, in a transition context and resource-rich country like Myanmar, economic, housing and transport development needs, and the loaded financial interests linked to these, play much stronger in local political economies surrounding development planning and investments than **environmental considerations**; third, in conflict-affected areas, some EAOs may refuse to cooperate with the Project due to political aversion to deal with government-run TAs and the replication of **conflict-sensitive approach** to local development is predicated on the likelihood of peace actors to reach an agreement on interim arrangements and eventually permanent solutions around local governance.

➔ *Mitigation approach: When promoting impact analysis and advanced public consultation, the project will demonstrate quality improvements in resulting policies or legislation through a piloting approach. When promoting greater consideration in public sector management for gender, environment and conflict (GEC), the Project will base itself on existing policy frameworks, laws and executive decisions already made on these vulnerability areas, rather than import additional norms – or if indeed this is called for from a human-rights based point of view, UNDP will first advocate for such changes with Union-level partners. Similarly, the Project comes in support of existing institutions and platforms mandated with disseminating GEC considerations into public sector management, and does not propose creating parallel channels bypassing institutional decision-makers. SERIP will provide focused capacity building support where most needed (usually at the subnational level where these structures are weaker), but will also advocate, if needed, with GoM (executive and legislative branches) for additional attention and resources to be made available so that these institutions and platforms can fulfil their missions. Finally, the Project will build bridges and partnerships with other initiatives, whether UNDP, development partners or civil society-led, working on societal and institutional change around gender equality, environmental protection and conflict resolution. Specifically, on **gender equality**, the Project will take advantage of the fact that women represent a sizeable portion of the civil service in Myanmar, including at the management and sub-national levels, to champion*

*innovative gender equality approaches in public sector processes. For **environment**, the Project will facilitate the presence of the private sector in the planned S/R strategic development, township level planning and urban service delivery interventions to try and reconcile environmental and economic interests, guided in this by the framework provided by the Agenda 2030. Finally, for **conflict-sensitivity**, the Project will mainstream conflict sensitivity into its interventions at S/R and township level, in particular in Rakhine and Kachin States,*

There are also generic risks attached to this Project and affecting all three result areas, that will be mitigated:

- i. **Institutional risks:** as common in developing nations, targeted institutions may have insufficient absorptive capacity to benefit from the multi-dimensional capacity development support provided and therefore be able to effect real change to their internal systems and delivery. This risk will be mitigated by adopting staged and incremental approaches, systematically negotiating and benchmarking change processes with beneficiary institutions and monitoring progress so as to adapt the pace and scope of implementation if needed to reflect possible difficulties. Also, SERIP will benefit from the support of the Civil Service Reform Project as it will provide human resource management and civil service motivation support to the key institutions targeted by SERIP.
- ii. **Operational / reputational risks:** these refer to the capacity of UNDP to translate the proposed integration between the four Project outputs at the conceptual level into day-to-day implementation, to provide effective operational support through its Head Office and Area Offices to a wide range of project locations (Union, 4 S/R capitals and Townships where the project is active) while maintaining a lean implementation structure, to mobilize sufficient funds to achieve a critical level of intervention for lasting change to appear and to maintain the most cost-effective implementation modality throughout, adapting to contextual changes in the country and in UNDP's own resource base. To mitigate these risks, UNDP follows recommendations made in the recent independent evaluations of its CP 2012-2017, as well as during the CO structural review conducted in April 2017 by UNDP HQ, to better align its implementation structure and business processes with the imperative of greater programmatic integration.
- iii. **Social and environmental risks:** are considered as limited, given that the very strategy of the Project is to support public institutions in better understanding and reducing social and environmental risks at all level of the policy and planning cycle. Where UNDP, through this Project, will be directly impacting populations, e.g. with the Township grants and with its support to the delivery of administrative and urban services at Township levels, UNDP's Social and Environmental Screening process will be followed (see Annex 5).

There are also strategic risks, such as those related to the derailment of the peace process, a major political crisis in the country's leadership or a deep fiscal crisis triggered by sudden fall in commodity prices or the global economic context, which are out of reach for mitigation by UNDP but would most certainly trigger a substantial revision of the Project's trajectory if they were to materialize, probably with a downsizing of policy-level work and focusing on capacity-building in public administrations, especially at the subnational level.

Finally, the current situation in **Rakhine State** does pose risks as to the feasibility of UNDP's proposed targeting of this State in SERIP, at least for certain activities such as supporting center of government or parliamentary processes. Even for subnational governance support, the selection of target Townships may have to be revisited in 2018 in light of the political situation on the ground. UNDP still believes that it is extremely important to propose support to governance institutions in Rakhine, and not only humanitarian or early recovery assistance, as more inclusive governance systems responsive to the needs of *all* population groups is key to stabilization and durable peace in the State.

Stakeholder Engagement

The target groups of SERIP are primarily **executive and legislative institutions** at the Union, S/R and Township levels and their staff (senior executive, administrative and middle management levels), as well as Union and S/R parliamentarians. W/VTAs are also targeted through the support to Township planning and grant execution.

There is a **primary group of beneficiary institutions** that have already been identified, including the President's Office, the State Counsellor's Office, the Ministry of the Union Government Office, the Ministry of Investment and Foreign Economic Relations, the MoPF and several of its departments (CSO, Planning, Budget, PAPRD), the GAD (in particular its Administration, Personnel Affairs and Logistics Division,

International Affairs Division, Training & Research Division at Union level, its S/R Executive Secretariat Offices, Township Administration Offices and W/VT Clerks), the S/R MDAs and the DAOs, the UAGO and the Parliaments at Union and S/R level. These institutions will receive multi-pronged and project-long support in terms of policy advice, staff training, organizational development, study visits, etc. A secondary group of beneficiary institutions is formed by line ministries involved in different inter-ministerial bodies that the Project will engage with in order to deliver the intended results (Cabinet-level committees, Planning Commissions, Planning & Implementation Committees, various environmental, disaster risk management, climate change, women's affairs committees, etc.) as well as those line ministries that play a role in the delivery of services directly supported by the Project, be it through Township grants or the One-Stop-Shops. Specific attention within that group will be given to MoNREC for its role in the mainstreaming of environmental considerations in policy-making and planning and MoSWRR for its mandate in reducing natural disaster and climatic risks as well as promoting women's empowerment. Institutions in this secondary group of beneficiaries will receive more occasional and less multi-pronged support, also in the form of policy advice and capacity development, usually complementing more in-depth support provided by UNDP through its other projects or by other development partners, including UNCT agencies.

While SERIP puts emphasis on building supply-side capacities for effective and responsive governance, recognizing the existing and substantial support provided by other development partners to reinforce capacities of the demand side, **civil society** will also benefit from the Project. Important actions will be taken to allow a more meaningful participation and contribution of communities and CSOs in policy management, law-making, planning and budgeting, and in exerting social accountability on the state. This will happen through: (i) supporting a more effective institutionalization of state-society mechanisms for information-sharing, consultation, co-decision, co-production, oversight and grievance-handling, by modelling improved participatory governance mechanisms, developing institutional capacities for strategic communications and outreach and contributing to policy reforms that establish in law the right to participation in governance; (ii) increasing access to capacity-building, including training and grant funding, for civil society partners, in particular for policy research and social accountability .

Ultimately, the **entire population** of the country should benefit from impacts deriving from SERIP, given the Project's ambitions to affect core government functions at Union-level through direct engagement with Union-level institutions but also through supporting the policy uptake of successful governance enhancements achieved at S/R and Township levels in targeted areas, which should result in more effective and responsive service delivery and investments in socio-economic development. The Project will work specifically on increasing the effectiveness of government's modalities for minimizing negative and maximizing positive social and environmental impacts of public policies and projects. At the level of SERIP itself, gender equality, environmental and conflict-sensitivity criteria will be systematically applied to the prioritization of grant-funded projects at Township level. Representatives of vulnerable groups will take part in the planning exercises as well as sit on oversight committees set up to verify the implementation of funded projects.

South-South and Triangular Cooperation (SS/TrC)

UNDP has used in its CP 2012-2017, and will continue using and expanding in the new one, SS/TRCs to build traction in government for certain reform options successfully tested elsewhere and support capacity development through peer learning. Below is a list of existing or potential SSEs which UNDP intends to pursue for the SERIP. More options will be sought from UNDP's Regional Hub in Bangkok, in Singapore, UNDP BPPS in New York and the UNDP Art Programme in Brussels. Regional SSEs will be privileged, due to cultural and historical proximity, and for cost-effectiveness reasons, but also with other countries having gone through complex transitions.

- *Output 1:* The Project will sponsor collaboration with statistical authorities in the ASEAN area, based on their respective strengths.
- *Output 2:*
 - for national planning, with the Philippines and Malaysia
 - for the integration of SDGs, with Indonesia (for its excellence in public consultations and private sector engagement in Agenda 2030), and with Nepal (for the qualitative monitoring of SDGs).
 - for the executive coordination of government, with countries that have undergone similar transitions from fragility and conflict (e.g. Timor-Leste, Rwanda, Viet Nam, Indonesia) and also the governments of Singapore, Australia and New Zealand as potential models to models presenting interesting lessons learned based on common law system's specificities.

- *Output 3:* the Project will facilitate the coming of MPs from Southern parliaments to Myanmar to provide training or inputs into seminars/conferences. Southern parliaments will also host study visits on specific issues. Some of the key themes envisaged for SSEs in this output are on human resource management due to huge planned influx of specialist staff into the Hluttaws and establishing dedicated parliamentary administrations at subnational level. The IPU, as strategic partner of UNDP for this output, has the lead on SSEs through its global mandate on parliamentary exchanges.
- *Output 4:* Several countries have been facing the challenge of engineering decentralization reforms while undergoing massive political and institutional transition processes, such as Nepal or Indonesia, and can provide important lessons learnt to Myanmar to anticipate such changes and mitigate negative effects. The Philippines also provide an interesting example for establishing mixed administration systems in former conflict areas (Bangsamoro Region) as do Indonesia (Aceh, Irian Jaya). Ongoing experiences from the region related to online training courses, use of mobile technology to connect citizens to local administrations or to report fraud could also be introduced to Myanmar partners for possible testing to promote South-South and Triangular Cooperation in local governance and decentralisation fields.

Knowledge

The Project will develop and disseminate three types of knowledge products:

- for use by the Project's direct beneficiaries (public sector staff, elected MPs, CSOs): publications issued by government institutions and Parliaments supported by the Project, including guidelines and training manuals, introducing and building capacities on revised or new policies, norms, regulations, business processes, administrative templates, etc.
- for use by the wider duty-bearer and right-holder communities in the governance arena in Myanmar: including line ministries, rule of law institutions, civil society, private sector, as well as development partners, and consisting in openly accessible publications presenting diagnostic studies, prospective options studies and policy briefs, perception surveys, national public policies, strategic plans, public outreach materials, documentaries, and so forth, developed by or for Government partners with Project funding.
- for use by the wider international community and foreign governments of developing countries presenting a similar context to that of Myanmar and seeking to improve as well the delivery of their machinery of government, including lesson learnt documents, case studies, research papers centred on innovations tested by the Project, and a final synthetic report presenting the Project's approach and results.

The knowledge products produced under the three categories detailed above will fall broadly within the thematic areas covered by the 4 outputs: statistical services, policy management, parliamentary development and subnational governance and local development and by the cross-cutting areas (gender equality, environmental resilience and conflict reduction). It is not possible to establish an exhaustive list at this stage and, by principle, actual decisions on which products should be developed in priority with project funds should be left to beneficiary government institutions. Each year, at the time of developing a new Annual Work Plan for the Project, UNDP will discuss with these partners a publication plan for the year. Project funds have been set aside in each output and in the overall project management budget to cover publication costs.

All knowledge products will bear mention of the support provided by UNDP and project donors and be available at UNDP Myanmar Office and on-line, including on governmental partners' web sites. Besides, the Project will organize two Good Governance Conferences (one at mid-course and one at the end of the Project), presenting the work accomplished, results achieved, and lessons learnt, as well as recommendations for future reforms and capacity support to continue improving effectiveness and responsiveness in public sector management. This will help ensure a wider real-time dissemination of the knowledge base developed by the Project, and its visibility.

All products destined to domestic use will be developed in Myanmar and English. Those destined to an international audience mainly, may be available in English only.

Sustainability and Scaling Up

SERIP is by definition an institutional strengthening project that puts the onus on working through and for country governance and development systems, from Union to Township level. None of the Project's activities involve bypassing state institutions to reach right-holders. Also, even if the Project adopts an area-based approach focusing on 3 S/Rs, all of the interventions are meant to be scaled up eventually to all States and Regions through country systems and capacities. The following elements in the Project's approach will contribute to the sustainability and scalability of results achieved during the Project's lifetime:

- i) the Project has been designed through a round of consultations with national and local authorities, starting from the CPD formulation phase all the way to the finalization of the Project document. All primary target institutions have been consulted on the Project's content, including S/R authorities in Bago Region, Rakhine State and in Mon State. **National ownership** over the project's orientations, and in particular its focus on core government functions and parliamentary processes, is a *sine-qua-non* condition for sustainability.
- ii) at the same time, the Project avoids proposing upfront ready-made solutions, models or tools. All activities, when they are not simply about rolling out an approach or method already proven suitable and effective in the Myanmar context (e.g. Township participatory planning), will start with a phase of **diagnostic led jointly with national partners**, involving a study, capacity or ex-ante impact assessment, followed by consultations to chart a way forward, be it a capacity development plan, a new or improved business process or a policy objective. This limits the risk of selecting change pathways wholly unsuitable to the country's context (and hence unsustainable) – although an element of risk will always be present when introducing innovations in governance, as in other sectors.
- iii) building upon this diagnostic phase, implementation will systematically involve leadership by a national institution, with UNDP in a technical advice and supportive role. This means that all deliverables attributable to the Project, whether diagnostic, planning and mainstreaming tools, training curricula, business process guidelines, regulations, organizational structures, and more, will be released by government partners, and not by UNDP. This will greatly facilitate the upscaling process of Project's results that should start during its lifetime and continue beyond.
- iv) while UNDP supports SS/TRCs through this Project, the intent is **not to import ready-made "best practices"** or solutions from abroad. In several cases, UNDP will also propose different options, some having been tested in other countries facing similar challenges, but the final choice as to which option should be implemented, will be left to GoM.
- v) the Project capitalizes on UNDP's unique positioning in Myanmar, with trusted access to core government institutions and Hluttaws at the Union and S/R level and at the same time proven capacity to support the implementation of service delivery, livelihoods, environmental conservation and rule of law interventions closest to the people. Hence, the Project can systematically **inform policy development with practice experimentation** – where the former is part of the proposed strategy to achieve an intended result. This the case, for example, with developing a Myanmar model for policy management. Rather than designing such a model upfront based on comparative international experience, SERIP will support first the piloting of different innovations relating to different aspects of a policy formulation process, into on-going policy development work led by government. Only after this period of experimentation, based on lessons learnt, will the Project support GoM in systematizing a comprehensive model for replication.
- vi) the Project will **work through existing institutions and inter-institutional structures**, such as the different planning, environmental or service delivery committees already existing, as imperfect as they may be, rather than attempting upfront to create new ones. It is proven that, especially in transition countries, putting the center weight of a change process on institutional engineering often fails;⁷⁴ rather, adapting existing structures from inside bears higher promise of results and sustainability. If and when drastic institutional change is needed, it should come as a realization by GoM of the impropriety of existing forms, rather than as a pre-condition for success imposed by the Project.
- vii) the Project will **strengthen national capacity development and facilitation capacities**, rather than provide all such support on its own. This is the case, for example, with the planned support to the CSO for establishing its Statistics Training Institute (destined to train government statisticians across line ministries), to the Myanmar Parliamentary Union for setting up the Centre for Parliamentary Learning and Knowledge Exchange, or to the GAD for improving the curricula used at its Institute of Development Administration. It is also what drives the Project to privilege support early on the formation of Planning Facilitation Teams in targeted S/Rs to drive the replication of the TS participatory planning and grant method to more Townships in these 3 S/Rs. UNDP will also contract, whenever available and judged cost-effective, national intermediary support organizations, or ISOs, such as policy institutes, organization development firms, NGOs, etc. for executing certain research, training, monitoring or facilitation activities for SERIP. Longer-term agreements will be preferred to event-driven contracting, in order to also help build capacities of these ISOs through a partnership approach.
- viii) the Project includes, for each output, **one or more indicators measuring change in the capacity of the main targeted institution(s)** to perform on its/their own, as a result of the Project support, a core

⁷⁴ *Restore of Reform? Lessons Learnt Review of UN Support to Core Public Administration Functions in the Immediate Aftermath of Conflict*, UN Working Group on Public Administration, 2013

function, whether in terms of quality and/or scale (see RRF in Section V). This is, for example, the case with Indicator 1.4 (*Percentage increase in number of non-CSO staff that have taken part in training courses delivered by the Statistics Training Institute*), whereby UNDP support will help establish and develop the work of the STI, but where the CSO retains full responsibility for making the STI's caseload grow over the 5 years of the Project. Besides, from the Project start, a **functional capacity assessments** are being conducted **and capacity development frameworks agreed** with each primary target institution to establish a baseline on key targeted capacity dimensions, agree on specific progress indicators (at a more granular level than output indicators) and monitor progress achieved regularly through monitoring. These capacity assessments will be targeted to those functions that are directly addressed by the Project.

Below are additional highlights of the sustainability and scale-up strategy specific to each output:

- *Output 1:* the Project inscribes itself into the strategic action plan defined by the CSO and development partners in the NSDS, hence none of the Project's activities fall outside of government priorities. One of the key activities under this output, i.e. establishing the Statistics Training Institute, is a critical investment in the long-term to upgrade statistical capacities across government agencies. UNDP will only provide technical assistance, and some limited equipment, in establishing the STI, while all staffing and operating costs are covered by GoM. UNDP's support to CSO for conducting nation-wide surveys (8 surveys in total), will imply a steady technical support but decreasing financial support to survey costs,⁷⁵ offset by increasing government funding.
- *Output 2:* it is in this output, national ownership and leadership of the work programme implemented will be probably the strongest, given the sensitivity of the topics dealt with and the strong commitment of the GoM to implement the MSDP. At the same time, as a general election is coming in the middle of the Project period, there is no guarantee that some of the intended results would be endorsed by the new incoming government. At least, the methodology used by the Project to support policy prioritization will remain available for future use. Also, Output 2 puts the onus on building capacities of the senior administrative and middle management levels in cabinet institutions, which are in principle less affected by post-electoral turnover, hence guaranteeing better remanence of capacities built for executive coordination.
- *Output 3:* SERIP will support implementation of strategic development plans developed by the Hluttaws themselves, hence guaranteeing full ownership. It is not foreseen that these plans would be questioned by new incoming Hluttaws after the 2020 elections, as they mostly deal with building core capacities of the Hluttaw administrations. The same applies to the Rules of Procedures and business processes developed with UNDP's support, as they are meant to facilitate parliamentary processes in general, regardless of the dominant political faction. Also, as stated previously, SERIP's support to the Centre for Parliamentary Learning and Knowledge Exchange, whose operations costs will be fully funded by GoM, is a guarantee of sustainability in the long-term for parliamentary development in Myanmar.
- *Output 4:* The Project is testing through this output a model of participatory local development planning and service delivery that is designed to attract increasing untied fiscal transfers from the Union to S/R and TS levels. Because the model is developed by the TDLG project and tested with MoPF and GAD, using their own staff and systems, its institutionalization will happen while it is being piloted by TDLG and SERIP across a total of 3 S/Rs and up to 20 Townships, increasing therefore chances of rapid upscaling and long-term sustainability. The amount of 1 USD per capita on average used for Township grants is deliberately kept low so as to avoid distorting the local development context in these Townships vis-à-vis other non-funded Townships and also to facilitate the setting-up by GoM in the future of Township Development Funds, building on SERIP's seminal work. Also, SERIP supports each target Township for three consecutive annual planning, budgeting and grant execution cycles, with a decreasing level of UNDP technical support each time, to incentivize incremental by local institutions over the proposed approach. The Project will also support the training of Planning Facilitating Teams, under MoPF responsibility, and of national non-governmental capacities to support replication at a large scale of participatory local development processes.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

Cost efficiency and effectiveness in the management of this project are maximized through the following elements:

⁷⁵ For example, while UNDP & WB funded 100% of the implementation costs of the last Myanmar Living Conditions Survey in 2016, only 50% funding has been budgeted for 2019.

- **National ownership and use of country systems** to implement the activities under output 4, while UNDP will contribute human resources to deliver technical and facilitation support, most of the actual implementation will mobilize government bodies, staff and processes. This approach allows to concentrate UNDP staffing costs on key advisory positions and minimize the number of field / implementation staff. For example, for Township participatory planning, while SERIP ensures local training and technical assistance to S/RGs and TAs, the bulk of the work will be carried out by Township officers, thereby increasing the Project's cost-efficiency. Working through country systems also means that lessons learned, and capacity developed will remain with supported institutions and that will facilitate policy uptake and dissemination, hence impacting a much wider group of beneficiaries than directly covered under this Project and resulting in even greater cost-effectiveness.
- **De facto cost-sharing with government:** although not formally calculated, the government contribution to project activities is real. The Project will not pay stipends or premiums to GoM staff, and per diem allocations for attending workshops and other events are calculated considering Myanmar public service scales. While the Project will sponsor limited capital expenses of partner institutions to deliver certain activities (e.g. IT and office equipment for training institutes), by no means does it plan to cover such needs comprehensively – SERIP will complement GoM's own investments. For Township grants, they remain limited in size as their main objective is to create incentives for participatory planning rather than provide a comprehensive response to local development needs – something that the national budget should do, in particular through greater fiscal decentralization. Cost-sharing means also the possibility given to UNDP for utilizing public buildings for Union-level and S/R level project offices, as well as during trainings and workshops.
- **Contracting implementation services where cost-effective:** two responsible parties have already been identified (see p. 28) and others will be enlisted, with a preference for qualified national entities. It is foreseen, for example, that the roll-out of the TS planning and grant activities in Rakhine State will follow the model used in Mon State under the TDLG project (contracted party), as it is deemed more cost-efficient in the long run than direct implementation by UNDP, not just due to staffing costs but also due to the more flexible operational arrangements used by these execution partners while mobility is often constrained for security reasons for UNDP in remote or conflict-affected areas.
- **Integrated implementation approach with other UNDP Projects:** under the new CPD, and as explained already in Section III (p.26), a high level of integration across UNDP's portfolio has been sought at the conceptual level, to deliver on the selected outcomes, and this translates into a joint approach to implementation. There are a multitude of opportunities for projects to conduct jointly workshops, conferences, dialogue events or study tours and share costs, or to commission studies or surveys that can serve more than one project (e.g. Options Study on Decentralization). The adoption of an area-based approach in Rakhine and Kachin, which not only concerns SERIP but also other projects (whereby they will also deliver part of their support on the same 3 S/Rs as SERIP), opens opportunities for increased cost-efficiency. Maximizing the benefits of this portfolio approach, at the heart of UNDP's vision for effectiveness and efficiency, will be the task of the new two Outcome Area Coordinators (Governance & Sustainable Peace, Sustainable and Inclusive Growth) and the Deputy Resident Representative. At an operational level, the integrated approach also means the use by the Project of UNDP's common services for processing procurement, human resource management, administration, finance and logistical support for operations in Yangon, Mon, Mandalay and Rakhine (current locations of UNDP Area Offices).
- **Building partnerships with financial and technical development partners,** such as the World Bank, the ADB, DfID, the EU, Canada, Japan, Sweden, Australia, the Asia Foundation, and many others, as already underlined in Section III. Opportunities for joint implementation of activities will be sought both through direct contacts and through the Sectoral Working Groups. UNDP's position as lead technical assistance provider to the new DACU will also facilitate engineering such partnerships.

Project Management

Project Locations and Offices

The Project will have impact at the Union level as well as be present and conduct activities in 4 Regions States (Mon, Bago, Rakhine, Kachin) and in up to 5 Townships distributed between these locations, as detailed in Annex 2.

At the **Union level**, The Project Management will be housed at UNDP Country Office. Technical teams for each output will be housed either in the same office or at their key counterpart's office.⁷⁶ At the **S/R level**, Project staff will be housed in S/RG and S/R Hluttaw administrative buildings. At the TS level for Output 4, Project staff will be housed at TA offices.

For Output 3, due to an existing field presence structure that the MPU has asked UNDP to maintain and strengthen, full-time field staff will be deployed to: Yangon, Myitkyina (Kachin State) and Mawlamyine (Mon State) and Sittwe (Rakhine State) to support the **S/R Hubs** set up to support the S/R Hluttaws. For this reason, the Bago Hluttaw will be supported from the Yangon Hub..

Finally, UNDP Office in Yangon and Offices in Mon, Kachin and Rakhine will be mobilized for logistical support for events organized in their respective area of responsibility and for overall coordination with other UNDP projects implemented in same area.

Implementation arrangements

The Project will use the **Direct Implementation Modality (DIM)**, under which UNDP is the Implementing Partner (IP). Under DIM, UNDP will bear full responsibility and accountability to manage the project, achieve project outputs and ensure the efficient use of funds. The UNDP will be accountable to the funding partners for the disbursement of funds and the achievement of the project objective and outcomes, according to the approved work plan. In particular, the IP will be responsible for the following functions: (i) coordinating activities to ensure the delivery of agreed outcomes; (ii) certifying expenditures in line with approved budgets and work-plans; (iii) facilitating, monitoring and reporting on the procurement of inputs and delivery of outputs; (iv) approval of Terms of Reference for consultants and tender documents for sub-contracted inputs; and (vi) reporting to the Project Board on project delivery and impact. UNDP Governance & Peace Team Leader will take overall responsibility for achieving results of the project and report to the Project Board. Under her/his supervision, the day-to-day management of the Project will be delegated to a Project Management Team (PMT) and Output Technical Teams, as detailed in Section VII.

To design and deliver innovative approaches in governance under outputs in this project, UNDP may provide **Low Value Grants** under this project. Possible grantees include policy institutes, and academic institutions that could assist institutions in the development of inclusive approaches to managing governance processes and delivering services.

UNDP, as an IP, will enter into agreement with other entities, or **Responsible Parties (RP)** to deliver project outputs. So far, two RPs have been pre-identified: (1) the **IPU** in Output 3, under a global partnership agreement with UNDP, with responsibility for a number of activities at Union and S/R level, including ICT upgrading, development of the Learning Centre, capacity development and surveying of MPs, documenting experiences in parliamentary strengthening and facilitating SSE of MPs;

UNDP will sign a standard Letter of Agreement (LoA) with respective government agencies to delineate the areas of collaboration, expected support from UNDP, commitments from the recipient organizations (in particular with regards to availability of staff for capacity development programmes and co-selection of service providers) and for the transfer of funds, if applicable (i.e. "Township Development Grant" and "Survey Administration Grant"). The LoA regulates the implementation modality, usage of the funds provided by the UNDP, and reporting and audit requirements. UNDP will ensure technical and financial monitoring of all activities undertaken by RP and state institutions are in line with the signed agreements. Bi-Monthly Project Management Meetings between UNDP and the RPs will provide further guidance on implementation.

Auditing

As the implementation modality for the project is DIM, UNDP will apply the DIM audit arrangements. The audit of DIM projects is made through the UNDP's Office of Audit and Investigation (OAI). Audits shall be conducted on an annual basis. Townships receiving a "Township Development Grant" shall also be subject to an annual audit conduct by a private firm, to be recruited by UNDP in consultation with the respective S/RG. The outcome of the annual audit will determine the eligibility of the Township for a subsequent grant in the following year. Where Micro-Capacity Grants are used, micro HACT⁷⁷ assessments will be conducted by independent third parties before signing a Standard Grant Agreement for Micro-Capacity Grant and specific

⁷⁶ Probably (but to be confirmed) as follows: Output 1 at the CSO, Output 2 at MoPF & the President's Office, Output 3 at the MPU and Output 4 at the MoPF & GAD.

⁷⁷ Harmonized Approach to Cash Transfers, used by all UN agencies.

audit requirements will be used. Should the biennial Audit Report of the Board of Auditors of the UNDP to its governing body contain observations relevant to the contributions, such information shall be made available to the donor.

Equipment, supplies and other property

Ownership of equipment, supplies and other property financed from the project shall vest in the UNDP. Matters relating to the transfer of ownership by the UNDP shall be determined in accordance with applicable policies and procedures of the UNDP.

Collaborative arrangements and Direct Project Costing

SERIP will cost-share certain implementation costs with other projects under the CPD, both under the Governance & Sustainable Peace Pillar and Sustainable and Inclusive Growth Pillar. Indeed, given the thematic complementarity of the planned projects, and the similarity in institutional partners, some of the international advisors and staff will share their time between different projects, including SERIP and be costed accordingly to each project's budget. It is foreseen as well that the projects will co-organize a large number of training, knowledge exchange and planning activities, for the same reasons as technical staff resources are shared. All of the above will greatly reinforce the integrate approach taken by the new CPD. The Projects' operational means, in particular at the S/R level where different projects will coincide, will also be pooled where possible.

In line with the UNDP Executive Board approved Policy on Cost Recovery (EB document DP-FPA/2012/1, and DP-FPA/2013/1 and EB Decision 2013/9), organizational costs incurred by UNDP in terms of staff time and other implementation costs of a policy-advisory, technical and implementation nature essential to deliver development results of the project will be included in the project budget and directly charged. This includes the Direct Project Services (DPS) provided by UNDP Country Office, according to UNDP Direct Project Cost (DPC) policy. DPS costs are those incurred by UNDP for the provision of services that are execution driven costs, directly related to the delivery of project.

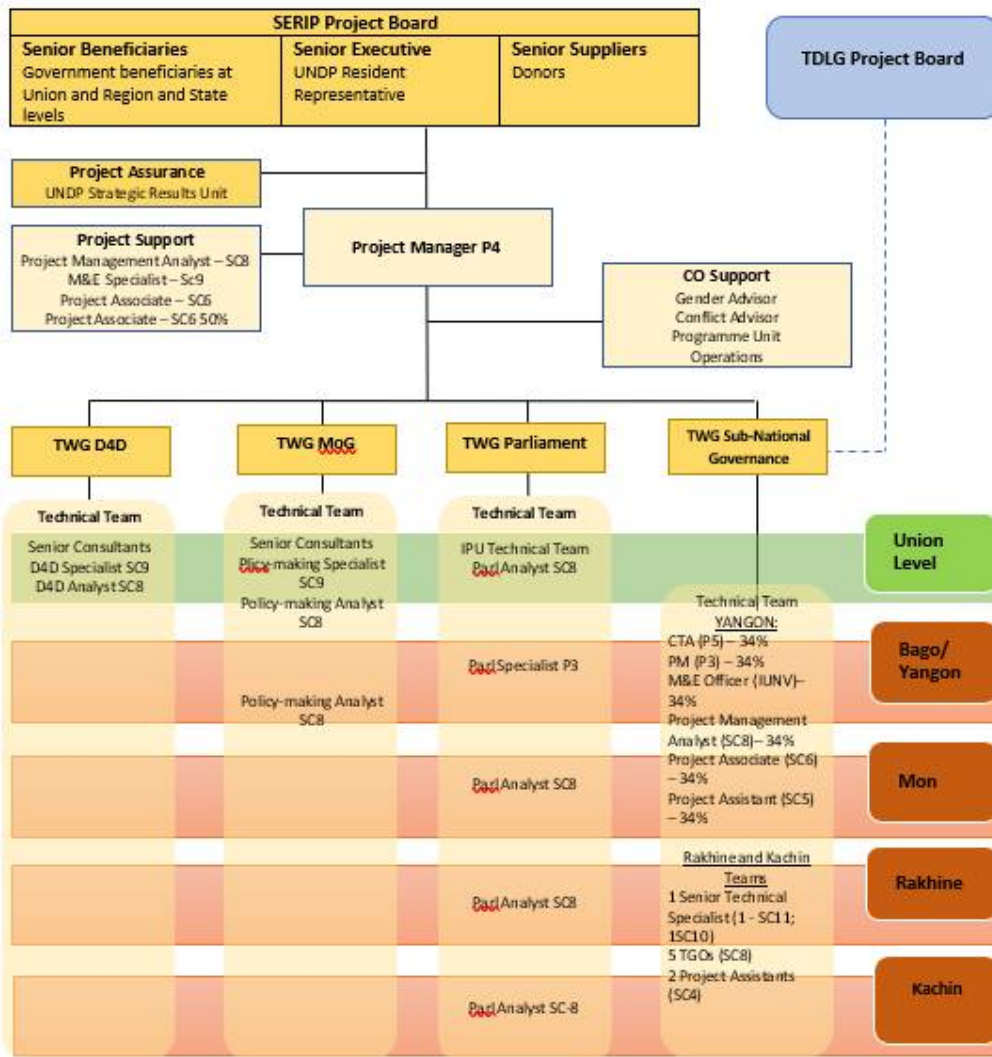


Figure 4. SERIP Organogram

V. RESULTS FRAMEWORK

Intended Outcome as stated in the Myanmar UNDAF (draft formulation): *People in Myanmar live in a more peaceful and inclusive society, governed by more democratic and accountable institutions, and benefit from strengthened human rights and rule of law protection*

Related outcome indicators as stated in the Myanmar UNDAF RRF: Draft pending final approval

1. Spending on essential services (education, health and social protection) as % of total government spending (SDG 1.a.2): Baseline: 14.53% (2015-16), Target: tbc
2. Proportion of seats held by women in (a) national parliament and (b) local governments (SDG 5.5.1): Baseline (a) 9.7 %, (b) 9.5 % (2016), Target: tbc
3. Number of female Ward / Village Tract Administrators: Baseline: 88 (2017), Target: 500 (2022)
4. Percentage of women as proportion of Deputy Director and above: Baseline 39% (2017), Target: 50% (2022)
5. Proportion of population satisfied with their last experience of public services (SDG 16.6.2):
Baseline (2015): ID documents, 64 %; Public school: 84%; Medical treatment: 75%; Police: 25%.
Targets: tbc

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

Project title and Atlas Project Number: Support to Effective & Responsive Institutions Project (SERIP)

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year 5		FINAL
Output 1 <i>Governance institutions have access to accurate, comprehensive and harmonized data needed for decision-making and monitoring.</i>	<i>1.1.1: Number of action plans under National Strategy for the Development of Statistics (NSDS) under implementation with support of UNDP (cumulative)</i>	National Coordination Committee	2	2017	3	6	8	9	10	10	10 from among <ol style="list-style-type: none"> 1. Action plan 1.2: Improve Coordination and Advocacy (NIF metadata) 2. Action plan 2.1: Improve Classifications, Standards, and Protocols (NIF metadata) 3. Action plan 3.1: Improve User Consultation (NIF, VNR, etc.) 4. Action plan 3.2: Enhance Dissemination Procedures (MMSIS) 5. Action plan 4.3: Improve and automate analysis of secondary data (MMSIS assessment) 6. Action plan 5.2: Develop the CSO Statistical Training Center (STC) 7. Action plan 5.3: Conduct specific trainings (Stata) 8. Action plan 7.3: Improve Household surveys at CSO (MLCS) 9. Action plan 8.1: Improve Core Environmental Indicators (NIF) 10. Action plan 9.1: Monitoring of the SDGs (SDG report) 11. Action plan 9.2: Monitoring of the MSDP (MSDP M&E) Administrative data Project Reports

	1.1.2: Extent to which MSDP indicators are producing quality data which is compliant with quality assurance framework and fundamental principles of official statistics.	CSO UN Stats	HQ=5.3% MQ=14.0%	2017	N/AN/A	N/AN/	HQ=25% MQ=35%	HQ=30% MQ=40%	HQ=35% MQ=45%	HQ=35% MQ=45%	Administrative data (SDG 17.18.1) Baseline source: UNDP study HQ = high quality, MQ=medium quality No definition/metadata available yet at global level
	1.2.1 Integrated data dissemination platform for official statistical information is established and functional:	CSO/MOPF	0	2017	0	1	2	3	4	4	Level 0 = Data dissemination platforms are not integrated Level 1= Readiness assessment (IT, business process, Human capacity) on integrated data platform completed and option paper produced Level 2 = Government agreed option on dissemination platform and initiate development process of an option that allows for view of data disaggregation, including gender Level 3 = Established functional integrated data platform of an option that allows for view of data disaggregation, including gender Level 4 = Utilization of the Integrated data platform by users in government and public
	1.2.2: Number of non-CSO staff that have taken part in training courses delivered by the Statistics Training Institute (disaggregated by gender and by Union/S-R level).	CSO	0	2017	00	00	00	T=20T=20 W=5	T=50W=15 T= 40, W=10	T=40 W=10	Level 0 = Statistics Training Institute is not systematic and well organized Level 1= Training curriculum developed Level 2 = Training materials of selected modules developed and TTT (training the trainers) trainings provided to CSO trainers Level 3 = CSO trainers delivers trainings to at the Statistics Training Institute (quantitative targets apply) Administrative data Target values by end 2018 T = Total, W = women

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE	TARGETS (by frequency of data collection)							DATA COLLECTION METHODS & RISKS
				Value	Year	Year 1	Year 2	Year 3	Year 4	Year 5	
Output 2 <i>Policy formulation, implementation and monitoring at Union and S/R level is guided by strategic priorities, better coordinated and more inclusive.</i>	<i>2.1.1: A monitoring framework for the MSDP is in place and measure progress in mainstreaming gender, environmental sustainability and conflict sensitivity</i>	MoPF	0	2017	0	1	2	3	4	Level 4	Level 0 = No framework in place Level 1 = An Indicator framework, mainstreaming gender, environmental sustainability and conflict sensitivity across all MSDP strategies is completed and endorsed by the government. Level 2 = Meta-data and reporting arrangements for the framework have been defined. Meta-data for 70% of all gender, environmental sustainability and conflict sensitivity indicators are defined Level 3 = Data against 30% of indicators (and 30% of SDG indicators and 30% of gender, environmental sustainability and conflict sensitivity indicators) are reported. Level 4 = Data against 50% indicators (and 50% of SDG indicators and 50% of gender, environmental sustainability and conflict sensitivity indicators) are collected and reported Administrative data
	<i>2.1.2: The government aligns MSDP implementation with the global 2030 agenda, with a focus on gender, environmental sustainability and conflict sensitivity.</i>	MOPF	0	2017	0	0	1	2	3	Level 4	2018: Level 0 (No review of MSDP implementation) 2019: Level 0 (No review of MSDP implementation) 2020: Level 1 = A Voluntary National Review Report including a focus on gender on gender, environmental sustainability and conflict sensitivity is drafted with the participation of civil society stakeholders. 2021: Level 2 = Myanmar VNR Report is endorsed by the Government and reported at High Level Political Forum 2021 2022: Level 3 = Recommendations from the VNR Report and Forum for the way forward on MSDP implementation are endorsed by the government. Administrative data, case study in year 5
	<i>2.1.3 M&E institutional arrangements for the Myanmar Sustainable Development Plan are developed and functioning</i>	UNDP	0	2017	0	1	2	2	3	Level 3	Level 0= There is no current M&E system across the Government Level 1 = National evaluation capacity assessment completed (with UNICEF); Level 2 = Arrangements for M&E for the MSDP capable of measuring MSDP implementation across sectors are agreed Level 3 = An MSDPM&E system is in place and functioning Administrative data, case study in year 5

	2.2.1 An improved government coordination process is in place and operational	MUGO/ MIFER	0	2017	0	0	1	2	3	Level 3	Level 0 = government coordination is not formalized and ad hoc Level 1 = A mapping of the centre of government and coordination process is completed Level 2 = A new government coordination model is defined Level 3 = A new government coordination model is adopted and applied in one policy area Administrative data, research data, case study in year 5
	2.2.2: A best-practice government policy model including gender and diversity analysis and alignment with MSDP is adopted and implemented at Union and Region and State level	UNDP	0	2017	0	0	1	2	3	Level 3	Level 1 = the policy management process is mapped and reviewed Level 2: a new policy development model is developed and endorsed Level 3: 1 Union and 1 R/S policy developed based on new model Administrative data, research data , case study in year 5
Output 3 <i>Parliaments are equipped to pass robust and people-centred legislation resulting from effective policy-making and legislative proposals.</i>	3.1.1: Number of Hluttaws where systems for revision of Rules and Procedure are in place and being used	Hluttaw	0	2017	0	Union and 3 R/s at level 1	Union is at level 2/ 2/	Union is at level 3	Union and 3 Regions and State Hluttaws are at level 4,	Union and 3 Regions and State Hluttaws are at level 4,	Level 0. No mechanism for reviewing rules Level 1. Sensitization regarding the set-up of committees/ coordination mechanisms is taking place Level 2 Committee/regular coordination mechanisms set up with participation of all parties in parliament (at the Union), Level 3. Union Committees meet and review Rules Level 4. Recommendations for rule changes are drafted at the Union using the mechanism; . Region and State Hluttaws agree among themselves on rule changes through the MPU. Administrative data, case study in year 5
	3.1.2: Number of Hluttaws where systems for inclusive planning of business are in place and used (Cumulative)	Hluttaws	0	2017	0	Union and 3 R/s at level 1	Union and 3 Regions and State Hluttaws are at level 2	Union and 3 Regions and State Hluttaws are at level 3	Union and 3 Regions and State Hluttaws are at level 4	Union and 3 Regions and State Hluttaws are at level 4	Level 0. Agendas are produced ad hoc and no tools for advance information on business for MPs nor for consultation of MPs on business are in place. Level 1: Instruments for increasing transparency of Hluttaw business (Calendars/business papers) are in place Level 2: Mechanisms for inclusive management of business (business committees or coordination meetings) are identified based on good practice Level 3: Mechanisms for inclusive management of business are established/set up with participation of all parties in parliament Level 4. Mechanism functions well in coordinating business(Committee/meeting meets regularly for making recommendations on business to the Speaker) Administrative data, case studies on business management processes.

	3.2.1 No. of committee reports on inquiries into Bills/Policies/Budgets (cumulative)	Hluttaws	0	2017	0	3	6	9	15	15	<p>Target for 2019: 1 policy committee inquiry at the Union and in at least 2 Regions and States (3 total cumulative)</p> <p>Target for 2020: 2 policy inquiries at the Union, policy inquiries at 3 Regions and States and bill inquiry at 1 Region/State (6 total cumulative)</p> <p>Target for 2021: 3 policy inquiries and 1 bill inquiry at the Union, policy inquiries at 3 Regions and States and bill inquiries at 2 Regions and States (9 total cumulative)</p> <p>Target for 2022: 4 policy inquiries, 2 bill inquiries and 1 budget inquiry at the Union, policy inquiries and bill inquiries at least 3 Region and States (15 total cumulative)</p> <p>Administrative data, annual committee survey</p>
	3.2.2: Percentage of parliamentary committee inquiries that integrate gender and diversity analysis (different degree of compliance)	Hluttaws	0	2017	0	0	PI 40%	PI 40% FI 20%	FI 50% PI 40%	FI 50% PI 40%	<p>Compliance is defined as integration of gender and diversity analysis in the following stages of fill best practice inquiries:</p> <ol style="list-style-type: none"> 1. Consideration in the definition of inquiry ToR 2. Consideration in stakeholder mapping stage. 3. Consideration in preparing for and conducting hearings and field visits 4. A report on analysis of evidence integrating gender and diversity analysis. <p>Full integration (FI) is defined as consideration in all 4 inquiry stages. Partial integration (PI) is defined as consideration in at least two inquiry stages</p> <p>Administrative data, annual committee survey</p>
	3.2.3 Percentage of parliamentary committee reports on policy inquiries with recommendations that receive government response	Hluttaws	0	2017	0	0	20%	40%	70%		<p>Baseline: 0 (no policy inquiries completed in 2018)</p> <p>Target for 2019: Nil (no full policy inquiry cycle completed in 2019)</p> <p>Target for 2020: 20% (of all completed policy inquiries) across Union and at least 3 Regions and States</p> <p>Target for 2021: 30% (of all completed policy inquiries) in the Union and at least 3 Regions and States</p> <p>Target for 2022: 60% (of all completed policy inquiries) in the Union and at least 3 Regions and States</p> <p>annual committee survey</p>

3.3.1: Number of Hluttaws implementing a strategic plan (cumulative).	Hluttaws	0	2017	0	Level 1 at Union and 3 Region and State Hluttaws	Level 2 at Union and at least 2 Region and State Hluttaws	Level 3 at Union and at least 2 Regions and State Hluttaw; Level 2 at 3 Regions and State Hluttaws	Level 3 at Union and 3 Region and State Hluttaws	Level 3 at Union and 3 Region and State Hluttaws	Level 3 at Union and 3 Region and State Hluttaws	<p>LEVEL 1: Strategic plan in place and adopted in Union and 3 Regions and States Hluttaws from among Bago, Mon, Rakhine, Tanintharyi, Kachin, Mandalay, Shan;</p> <p>LEVEL 2: Institutional arrangement for implementation and monitoring (operational plan or sector strategies plus relevant working groups or committees) are in place at the Union and 3 Region and State Hluttaws;</p> <p>LEVEL 3: Hluttaw budget is being prepared based on strategic plan objectives (in Dec-Jan each year) and change is managed project based.</p> <p>Administrative data</p>
3.3.2 Number of Hluttaws managing plenary and committee documents electronically and publishing these documents on their websites	Hluttaws	0	2017	U: level 1	U:level 2 / 3 RS: level 1	U:level 3 / 3 RS: level 2	U:level 4 / 3 RS: level 3	U:level 5 / 3 RS: level 4	50%	<p>Level 1: Backup server, Intranet infrastructure and ICT governance structure in place in target Hluttaws;</p> <p>Level 2: Intranet working and modules for plenary and committee systems launched;</p> <p>Level 3: Website linked to intranet developed and regularly updated by Hluttaws</p> <p>Level 4: Plenary and committee documents are regularly published on the Hluttaw website</p> <p>Level 5: Plenary and committee documents are actively used by the public in their participating in Hluttaw business</p> <p>Targets: U = Union, R/S = Regions/States</p> <p>Administrative data</p>	
3.3.3 A nationally- owned Parliamentary Training Centre provides MP professional development and staff training to Union and Region and State Hluttaws	Hluttaws	0	2017	0	Level 1	Level 2	Level 3	Level 4	Level 4	<p>LEVEL 1: new Union Hluttaw strategic plan designs Learning Centre development trajectory based on Learning Centre plan; Staff are assigned to the Learning Centre; training is delivered by the Learning Centre to at least 3 Region and State Hluttaws; first training curricula are designed based on results of MP survey and Situation Analysis of Region and State Hluttaws;</p> <p>LEVEL 2: A Learning Centre management structure is agreed and management is entirely nationally owned. Training focal points are set up at at least 3 Region and State Hluttaws; The Learning Centre leads planning and implementation for induction at Union and at least 3 Region and State Hluttaws with development partner support;</p> <p>LEVEL 3: Consolidated training curricula for MPs and staff are informed by MP surveys and regular training needs assessments; Curricula development and training implementation & evaluation is mostly provided independently from development partner support;</p> <p>LEVEL 4: A formal training network across the Union Hluttaw and at least 3 Region and State Hluttaws is established, with qualified trainers in Region and State Hluttaws; Training needs assessment, curriculum development and training implementation & evaluation is provided independently from development partner support; The Learning Centre is exchanging experience with other national & international specialized training bodies</p> <p>Administrative data and case study in year 5</p>	

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASE LINE	TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS		
				Value	Year	Year 1	Year 2	Year 3	Year 4	Year 5	FINAL
Output 4 <i>Subnational institutions have gained autonomy and skills for demand-driven and decentralized public-sector management, with emphasis on improving equitable access to services, building resilience and fostering social cohesion.</i>	<i>4.1.1. Number of supported townships which meet set criteria to perform participatory planning effectively</i>	UNDP	<i>All supported townships start at Level 1 since participatory planning process not followed as per Grant Manual</i>	2016			<i>Out of 5 townships at least 4 townships meet level 3 across 4 functions</i>			<i>Out of 5 townships at least 4 townships meet level 4 across 4 function</i>	<i>Attendance lists and minutes of meetings TGO/ STS observations Township plans and reports Independent audit reports</i>
	<i>4.2.1. Percentage of grant executed within fiscal year</i>	UNDP S/R governments	<i>No grants executed</i>	2016			<i>95% of full grant amount allocated during planning cycle FY 2017/2018 has been liquidated through implementation of planned projects</i>			<i>95% of full grant amount allocated during planning cycle FY 2018/2019 has been liquidated through implementation of planned projects</i>	<i>FACE forms; Reports from the S/R Governments</i>

	4.2.2 Percentage of projects (a) starting implementation and (b) completed physical and financial progress in line with Grant Manual and Procurement Guidelines	UNDP	No grants executed	2016		At least 70 % of selected projects from fiscal year 2018-2019 completed physical progress in line with standards as per Grant Manual and Procurement Guidelines			At least 90% of selected projects from fiscal year 2018-2019 completed physical progress in line with standards as per Grant Manual and Procurement Guidelines	ICE forms, Grant Tracker Tool, progress reports
	4.2.3. Number of townships where projects meet minimum benchmarks as per Procurement Guidelines	UNDP	No procurement guidelines at township level	2016		Out of 5 at least 3 supported townships partially comply with set criteria			Out of 5 at least 3 supported townships fully comply with set criteria	List of Members of TRVC and QAVC; Quarterly progress report, Tender documents, Picture of public tender notice, TRAC report

	4.2.4 Number of supported townships in which at least five social accountability mechanisms are used.	UNDP	No social accountability mechanisms in place	2016		Out of 15 at least 10 supported townships use at least five social accountability mechanisms are used effectively				5 supported townships use at least five and more social accountability mechanisms are used effectively	Township planning calendar; Tender receiving and assessing committee, Quality assurance and verification committee meeting attendance sheet, Tender committee report
	4.2.5. Number of women benefitted (trained) from women empowerment measures enable to advocate for women concerns.	UNDP	No systematic public participation of women in the planning process	2016		At least 300 women in all 5 supported townships benefitted from women empowerment measures within the framework of the project				At least 500 women in all 5 supported townships benefitted from women empowerment measures within the framework of the project	Attendance sheets of every planning workshop, training

	4.2.6. Percentage of W/VTAs that hold and document at least three community consultations on community priorities involving both men and women during the planning process	reports UNDP	Participatory planning process stipulated in Grant Manual not followed	2016		At least 300 W/VTA in all 5 supported townships hold at least 3 community consultations involving both men and women during the planning process			At least 500 W/VTA in all 5 supported townships hold at least 3 community consultations involving both men and women during the planning process	Reports from community consultations, attendance sheet and reports submitted; TGOs field monitoring
	4.2.7. Percentage of CSO engaged in supported Townships reporting having improved engagement with Township Administrations	UNDP	No systematic engagement of CSO with TAs	2016		80% of supported CSO in all supported townships reach level 3			80% of supported CSO in all supported townships reach level 4	Semi-structured Interviews and/or Focus Group Discussions; Review of meeting minutes; TGO Field Reports
	4.3.1 Number of case studies, policy documents and knowledge products produced based on lesson learned from township planning process, PFM, testing of social accountability, gender actions and engaging CSO in documenting changes at community.	UNDP	0	2016		6 products			At least 15 products	Project reports, policy documents and knowledge products; Minutes of meetings with government representatives
	4.4.1. Number of policy dialogues, workshops and learning events that informed policy discussion in relation to scale up and national replication of township planning model.	UNDP	5	2016		7			9	learning event agenda, workshop agenda

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 Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners	Cost*
Baseline Setting	Collect baseline figures for RRF indicators not readily available at the time of Project design and requiring research/survey inputs	Once, in first quarter of Project	All indicators will have baseline value by Month 3 of Project.	IPU, OXFAM	128,821
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	semi-annually, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	IPU, OXFAM	128,821
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	IPU, OXFAM	128,821
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	Twice a year	Relevant lessons are captured by the project team and used to inform management decisions.	IPU, OXFAM	128,821
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		128,821
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		128,821
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output	Annually, and at the end of the project (final report)		IPU, OXFAM	128,821

	level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.				
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Twice per year	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		128,821

* Includes salaries of UNDP M&E staff, M&E workshops, M&E travel for UNDP staff, contracted M&E services and M&E publications.

Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Mid-Term Review (all Project)			1	Sep 2020	Union Government Union Hluttaw S/R Governments & S/R Hluttaw (Bago, Mon, Rakhine)	USD 165,000 Project Funds
Final Output-level Evaluations			1	June 2022	Union Government Union Hluttaw S/R Governments & S/R Hluttaw (Bago, Mon, , Rakhine,)	USD 200,000 Project Funds
Final Review			1	December 2022	Union Government Union Hluttaw S/R Governments & S/R Hluttaw (Bago, Mon, , Rakhine,)	USD 90,000 Project Funds

VII. MULTI-YEAR WORK PLAN

PROJECT OUTPUT	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		2018	2019	2020	2021	2022		Source	Description	Amount
OUTPUT 1 Governance institutions have access to accurate, comprehensive and harmonized needed for decision-making and monitoring. <i>Gender marker: 2</i>	1.1: Capacities built and harmonized systems demonstrated in CSO and key line ministries for collecting high-quality official statistics. <ul style="list-style-type: none"> • <u>National Statistical System architecture</u>: NSDS Cluster coordination, role of CSO as Coordinator of NSS. • <u>Data accuracy</u>: harmonization (definitions, metadata, classifications standards, data structures, geospatial coding) of data for the MSDP and across the statistics system; system-wide quality assurance system; IT system integration; CSO/GAD coordination. • <u>Capacity development</u>: CSO staff training; strengthening Statistics Training Institute (CSO); capacity development programme for line ministries statisticians. • <u>CSO nation-wide survey programme</u>: support to household surveys, surveys in in the areas of poverty, social, gender and labour statistics. • <u>GEC⁷⁸ mainstreaming</u>: the MSDP: mainstreaming of gender equality in national statistics; disaggregation of statistics per conflict-relevant criteria (e.g. ethnicity, migratory status and environmental sustainability); 	534,000	273,000	389,000	475,000	358,000	UNDP CSO		Workshops & Conferences	385,510
									Consultants	426,090
									Equipment	121,740
									Travel	101,450
									Professional Services	81,160
									Grants	0
									Salaries	608,700
									Rental & Maintenance	0
									Publications	101,450
									CO Support & Oversight	202,900
	1.2: Policies, platforms and tools for the open dissemination of official statistics established. <ul style="list-style-type: none"> • <u>Policy</u> on data dissemination, including for data revision. • <u>Dissemination tools</u>: upgrading statistical portal (MMSIS); training on infographics, report drafting. • <u>Training</u>: policy, planning & budget officers in line ministries and Hluttaws at U and S/Rs on access to government statistics. • <u>Relations with data users</u>: through surveys, consultations, strengthening Myanmar Statistical Association; CSO's engagement with media • <u>GEC Mainstreaming</u>: support access to statistics by representatives of vulnerable groups. 	420,000	324,000	307,000	380,000	313,000	UNDP		Workshops & Conferences	313,920
									Consultants	348,800
									Equipment	87,200
									Travel	69,760
									Professional Services	69,760
									Grants	0
									Salaries	523,200
									Rental & Maintenance	0
									Publications	87,200
									CO Support & Oversight	174,400
MONITORING	27180	21300	28390	25300	28390				130560	
TOTAL OUTPUT 1									3,903,560	

PROJECT OUTPUT	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		2018	2019	202	2021	2022		Source	Description	Amount
OUTPUT 2 Policy formulation, implementation and monitoring at Union and S/R level is guided by strategic priorities, better coordinated and more inclusive. <i>Gender marker: 2</i>	2.1: The Myanmar Sustainable Development Plan is implemented effectively across the government, monitored and coordinated with sectoral policies government and is coordinated with sectoral policies. <u>GEC</u> <ul style="list-style-type: none"> <u>Implementing Framework</u>: support for developing a monitoring framework of the MSDP (the NIF), definition of metadata and ensuring data is collected effectively against indicators. Ensuring continuous alignment of implementing mechanisms including project bank with monitoring framework. Support to MSDP implementation through alignment of the planning process. diagnostic of overall GoM monitoring & evaluation system from annual plan targets to policy objectives with a focus on readying M&E for the MSDP – in partnership with UNICEF; Based on the lessons learned support to developing institutional arrangements for MSDP M&E and support to designing a national M&E system based on lessons learned <u>Mainstreaming of inclusiveness, gender equality and sustainability</u>: mainstreaming of inclusiveness, gender equality and environmental sustainability indicators into the indicator framework, ensuring data disaggregation for gender and S/R and definition of metadata. <u>Link of MSDP to global 20130 agenda</u>: support to voluntary national review processes (1 or 2 across project cycle, depending on government priorities) <u>Outreach to Hluttaws & the public</u>: involvement of Hluttaws in providing oversight of MSDP implementation & CSO involvement in NIF data collection 	253000	315000	491000	547.000	430000	UNDP		Workshops & Conferences	386840
									Consultants	427560
									Equipment	122160
									Travel	101800
									Professional Services	81440
									Grants	0
									Salaries	610800
									Rental & Maintenance	0
									Publications	101800
									CO Support & Oversight	203600
	2.2: Improved practices for policy coordination at the centre of government and for a model for policy development are demonstrated and modelled. <ul style="list-style-type: none"> Support demand-based capacity development at Union level and in 3 S/R for strengthening executive management and cabinet processes, Support to South-South learning on executive coordination of government. <u>Diagnostic</u>: Consultative mapping of policy development process (including one at S/R level) and lessons learnt. 	120000	223000	306000	349000	291000	UNDP		Workshops & Conferences	244910
								Consultants	270690	
								Equipment	77340	
								Travel	64450	
								Professional Services	51560	
								Grants	0	
								Salaries	386700	
								Rental & Maintenance	0	
								Publications	64450	
								CO Support & Oversight	128900	

	<ul style="list-style-type: none"> • <u>Piloting enhanced tools</u> for policy / legislative development⁷⁹ (including at S/R level), including for developing policy brief, producing research inputs, inclusive consultations, strengthening Union – S/R links in policy development, definition of results-based framework for policy monitoring and evaluation, coordination with Hluttaw for legislative process (if applicable), strategic communications on adopted policy(ies). • <u>Model development</u>: support to finalizing Myanmar Policy Development Model covering all stages of policy process, with guidelines, training tools, workshops, organizational development, for building capacities of CoG at Union and S/Rs in using it. • <u>Legislative drafting / vetting</u>: Linking with SARL project regarding legislative drafting and bill vetting capacity at UAGO. • <u>Mainstreaming of inclusiveness, gender equality and sustainability</u>: guidelines, tools and training for mainstreaming gender, inclusiveness and sustainability into all policy processes; support to participation women, youth and other politically marginalized groups (including conflict-affected groups); introducing gender equality and conflict impact assessment tools in policy formulation 									
	MONITORING	17789	17057	11431	11986	13578				71841
	TOTAL OUTPUT 2									3,481,841

⁷⁹ Policies supported will be coherent with CPD priorities, in particular for Peace, People & Planet. Policies identified under Output 4 (linked to decentralization) are included.

PROJECT OUTPUT	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		2018	2019	2020	2021	2022		Source	Description	Amount
OUTPUT 3 Parliaments are equipped to pass robust and people-centred legislation resulting from effective policy-making and legislative proposals. <i>Gender marker: 2</i>	3.1: Plenary debate and decision-making on legislation and matters of national importance improved. <ul style="list-style-type: none"> Parliamentary procedures: support revision of Rules of Procedures and mechanisms for scheduling parliamentary business / agenda in Union and in at least 3 S/R Hluttaws to improve inclusiveness and quality of parliamentary debate. Capacity development: support evolution of Hluttaw Training Centre into the Myanmar Centre of Parliamentary Strengthening and Knowledge Exchange (MCPSKE) for the provision of parliamentary education services, self-study and on-line resources to MPs and staff; support delivery by Centre of leadership training for senior Hluttaw members and skills training to MPs on legislative development, debating, addressing constituency issues in parliamentary debate; build MPs' knowledge on topics pertinent to Myanmar's development priorities; support provision of induction to new MPs in 2021; support Hluttaws in providing oversight and direction in review of MSDP. GEC Mainstreaming: building knowledge of MPs on topics related to gender equality, environmental sustainability; offer MPs individual advice and coaching on these topics ; link women MPs across Hluttaws for empowerment; supporting introduction of Women, Peace and Security agenda 	913000	895000	756000	763000	715000	UNDP IPU		Workshops & Conferences	731880
								Consultants	577800	
	Equipment							115560		
	Travel							192600		
	Professional Services							77040		
	Grants							693360		
	Salaries							1155600		
	Rental & Maintenance							0		
	Publications							77040		
	CO Support & Oversight							308160		
3.2: Systems demonstrated and capacities built to support more effective law-making. <ul style="list-style-type: none"> System enhancement: improve processes for planning and finance committees, , bill committees and ad hoc committees at Union and in 3 S/R Hluttaws (in cooperation with interventions by the World Bank and the EU and others) to contribute to annual planning & budgeting process & bill review & policy oversight. Capacity development: <ul style="list-style-type: none"> - Build capacities of Hluttaw committees to (i) conduct legislative & policy as well as budget inquiries, including by producing evidence-based reports; (ii) review and improve subordinate legislation approved by the Executive; (iii) financial and budgetary literacy. - Build capacities of Public Accounts committees in cooperation with interventions by the World Bank and the EU to engage with Auditor General's Office on public expenditure review GEC mainstreaming: Support the development and roll out of mainstreaming tools for environmental aspects, gender equality and inclusiveness in legislative drafting, review and inquiry work at Committee level. 	638000	475000	339000	398000	414000	UNDP IPU		Workshops & Conferences	401660	
								Consultants	422800	
								Equipment	42280	
								Travel	105700	
								Professional Services	21140	
								Grants	274820	
								Salaries	634200	
								Rental & Maintenance	0	
								Publications	42280	
								CO Support & Oversight	169120	

<p>3.3: Strategic plans adopted and capacities strengthened in parliamentary administrations at Union level and in 3 S/Rs.</p> <ul style="list-style-type: none"> • <u>Strategic Planning</u>: support Hluttaw administrations to conduct strategic planning exercises and monitor implementation of enhanced Hluttaw service delivery to MPs. • <u>Capacity development</u>: build capacities of Hluttaws administrations to access and make use of official statistics and other research data; strengthen two-way flow of information, ideas and expertise between Union and S/R Hluttaws; strengthen information and record management capacities of Hluttaw administrations and ability to share information & documents with the public. 	792000	564000	698000	589000	494000	UNDP IPU		Workshops & Conferences	654360	
								Consultants	482160	
								Equipment	68880	
								Travel	172200	
								Professional Services	68880	
								Grants	619920	
								Salaries	1033200	
								Rental & Maintenance	0	
								Publications	68880	
								CO Support & Oversight	275520	
MONITORING	31750	28080	29,678	28,909	26,084				144501	
TOTAL OUTPUT 3									9,554,501	

PROJECT OUTPUT	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		2018	2019	2020	2021	2022		Source	Description	Amount
OUTPUT 4 Subnational institutions have gained autonomy and skills to implement a public-sector management approach that is demand-driven, decentralized and puts emphasis on improving equitable access to services, building resilience and fostering peace. <i>Gender marker: 2</i>	4.1: System and capacities strengthened to support S/R-level participatory strategic and annual planning and budgeting, integrating the SDGs, in 3 S/Rs. <ul style="list-style-type: none"> • <u>Strategic Planning</u>: <ul style="list-style-type: none"> - Support strategy-setting for SDG localization. - Support existing S/R level thematic committees⁸⁰ to lead strategic planning (5 year) for key SDGs as per context needs, including preparatory studies, SDG baselines (with CSO support), stakeholder consultations, use of GIS tools and strategic communications on final S/R strategies and plans. - Support resource mobilization by S/R governments for funding of strategic plans. - Support MoPF to capitalize lessons learnt and develop guidelines and tools S/R strategic planning and for linking S/R annual planning with S/R strategic planning objectives. • <u>Annual Planning & Budgeting</u>: <ul style="list-style-type: none"> - Support to MoPF for integrating SDGs into annual Union-level planning and budgeting process. - Support to strengthening of vertical coordination between planning processes and entities at Union and S/R level. - Support to S/R Planning Departments, Planning Commissions and Planning & Implementation Committees to lead annual S/R planning & budgeting, with integration of TS plans. - Support to MoPF for initiating discretionary grants to S/Rs. • <u>Institutional development</u>: support to organizational development of MoPF departments (Planning, Budget, Monitoring) at U and S/R level, incl. through strategic planning, organizational structures, business processes and training. • <u>GEC Mainstreaming</u>: mainstreaming NEP principles, environmental impact and risk assessments across S/R plans and projects; build S/RG capacities for gender-differentiated needs analysis and gender-based planning and budgeting. 	521 010	451 160	404 840	266 802	231 175	UNDP	Japan, Canada, others	Workshops & Conferences	184802
									Consultants	291.712
									Equipment	22.265
									Travel	25.504
									Professional Services	199.961
									Grants	-
									Salaries	673.530
									Rental & Maintenance	72.826
									Publications	17.488
									CO Support & Oversight	73.933
	4.2: Model for participatory township planning and budgeting, and accountable project execution implemented in up to 5 townships and capacities built for wider scale replication. <ul style="list-style-type: none"> • <u>Planning & Budgeting</u>: <ul style="list-style-type: none"> - Strengthen capacities of TPICs for leading participatory evidence-based integrated planning and project prioritization. - Build capacities of W/VTAs, CSOs and TDACs for TS planning (data collection & analysis, community outreach, 	3 781 261	6 217 707	7 877 358	3 095 502	1 821 715	UNDP Township Administrations	Japan, Canada, others	Workshops & Conferences	957.902
									Consultants	270.777
									Equipment	12.488
									Travel	75.460
									Professional Services	784.651

⁸⁰ E.g. Regional Environmental Conservation and Climate Change Coordination Committee, S/R Disaster Management Committee, S/R Development Affairs Committee, Farmland Committee, etc.

<p>including women and ethnic groups).</p> <ul style="list-style-type: none"> - Support planning & budgeting for 3 years in each target TS - Support greater integration between village-level and TS level planning where applicable (e.g. NCCDP, LIFT, etc.). - Support MoPF to pilot formula-based discretionary grants to targeted TS. <ul style="list-style-type: none"> • Project execution: micro-HACT assessments of grant recipient S/R and TS departments, followed by training on procurement rules aligned with Union procurement law, on financial management and reporting; support TPICs for participatory oversight of grant execution. • GEC mainstreaming: <ul style="list-style-type: none"> - Strengthen systematic integration of NEP principles and disaster and climatic risk and impact assessments into TS planning, budgeting and execution. - Build capacities of TPICs for mainstreaming gender equality into planning and budgeting. - Support leadership and communications skills of women W/VTAs and women community leaders and capacities. - Strengthen conflict resolution and social cohesion building skills among W/VTAs to manage planning and project selection process. • Institutional development: <ul style="list-style-type: none"> - Core organizational development support to GAD TA offices, including through revising organizational structures and business processes. - Establish and train Township Planning Facilitation Team at S/R level to support dissemination of participatory planning approach outside of targeted TS. - Identify and train national support organization(s) to provide technical support to S/R Township Planning Facilitation Teams in rolling out TS participatory planning and budgeting. 									Grants	6.624.472	
										Salaries	377.783
										Rental & Maintenance	40.848
										Publications	27.403
										CO Support & Oversight	504.123
										Workshops & Conferences	121.031
										Consultants	561.896
										Equipment	25.286
										Travel	17.680
										Professional Services	149.559
									Grants	423.185	
									Salaries	764.921	
									Rental & Maintenance	82.707	
<p>4.3: Policy frameworks, institutional and operational capacities strengthened to deliver administrative and municipal services more efficiently and accountably in 3 S/Rs.</p> <ul style="list-style-type: none"> • One Stop Shops: support implementation of improvement measures to One-Stop Shop model, including for complaints handling; support improvement of individual administrative services delivered at OSS through process mapping and user surveys; support introduction of e-governance solutions in OSS • Municipal services: in at least three S/R capital cities <ul style="list-style-type: none"> - <i>System enhancement:</i> process mapping and user surveys on access to and quality of municipal services (solid waste management, drainage); technical and small innovation grant for cost-efficiency and environmental effectiveness (e.g. recycling for solid waste management). 	497 983	516 897	544 542	366 936	352 930	UNDP MDA	Japan, Canada, others				

<ul style="list-style-type: none"> - <i>Revenue collection</i>: diagnostic, piloting innovations for higher efficiency and transparency, including through social accountability and ICT; building capacities of municipal institutions for social marketing. - <i>Institutional development</i>: organizational development support to municipal governance institutions (S/R Ministry of Development Affairs, TS Development Affairs Committees and Organizations). - <i>Policies</i>: advisory support to S/R governments for revising municipal laws, local revenue laws, local public consultations and social accountability rules. <p>4.4: Reforms for advancing decentralization supported by evidence-based capacity development and policy advice.</p> <ul style="list-style-type: none"> • Capacity Development: support IDA to reform professional development programmes for senior GAD staff at S/R & TS levels, including principles and tools for people-centred local governance, gender mainstreaming, risk-informed development and conflict-sensitivity / social cohesion; support similar process for CICS and other ministerial training institutes. • Policy support: <ul style="list-style-type: none"> - Prepare policy papers informed by field experience for reforming: (i) Township Law; (ii) subnational planning and budgeting rules; (iii) fiscal decentralization laws, including for revenue collection and state transfer formulas;⁸¹ (iv) other policy aspects related to decentralization as required - Technical and process support to review and adopt proposed policies (with support from Activity Result 2.2). - Options Study on the formation of future local governments (with links to National Peace Dialogue and proposed federal model). - Other policy support related to decentralized public sector management as required. 									Publications	19.861	
										CO Support & Oversight	113.162
		415 223	481 078	648 112	260 502	246 715	UNDP	Japan Japan, Canada, others	Workshops & Conferences	2.051.630	
									Consultants	114.377	
									Equipment	20.502	
									Travel	19.337	
									Professional Services	453.099	
									Grants	-	
									Salaries	620.219	
									Rental & Maintenance	67.061	
								Publications	16.104		
								CO Support & Oversight	740.930		
MONITORING	138 835	207 437	255 069	93 480	56 856				751 677		
TOTAL OUTPUT 4									16.644.880		
EVALUATION COSTS									455 000		
TOTAL PROGRAMME									33.373.822		
GENERAL MANAGEMENT SUPPORT (8%)									2,669,906		
TOTAL PROJECT BUDGET									36.043.728		

⁸¹ Covering three types of transfers; from Union to S/R, from S/R to TS and from Union to TS

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Figure 3 on next page outlines the project's governance and management structures, including the different roles and responsibilities of the parties involved in governing and managing the project. The project governance structure will ensure UNDP's accountability for programming activities, results, monitoring and management of risks, and the use of resources, while at the same time fostering national ownership and alignment with national processes. Annex 8 presents the Terms of Reference of the Project Board and of key Project staff positions.

Project Governance

The different roles and responsibilities within the Project's governance structure are described below.

The **Project Board** is the highest authority within the Project's governance structure. The Board is responsible for providing overall strategic direction to ensure that the project's objectives are being met, that progress is achieved against set targets, and that risks and issues are adequately addressed through management actions. The Board is composed of the following members:

- **Senior Executive:** UNDP Resident Representative in the role of Senior Executive
- **Senior Beneficiaries:** Union-level executive institutions (PO, MoPF, GAD), the MPU, representing Union and S/R Hluttaws, and S/R Chief Ministers for S/Rs where the Project is active.
- **Senior Suppliers:** SIDA, Australia, Japan, Canada and other donors.

Decision-making is done through consensus of the members of the Project Board present at a duly convened meeting of the boards, with the Senior Executive holding the final decision right in case of hanged board. Other relevant stakeholders (i.e. Civil Society Organisations and responsible parties from the areas where the project is being implemented) may be invited to attend Project Board meetings as observers, as approved by the members, but without decision-making rights. The Committee will meet twice per year, but can be convened at an ad-hoc basis at the request of any of the members or of the Project Manager.

Given the wide range of institutions and thematic issues covered by the Project, and to ensure more agile decision-making regarding output-level implementation, the Project governance structure is complemented by **Technical Working Groups (WGs)**. Each TC are co-chaired by a senior beneficiary institution (DG-level) and the Project Manager (assisted by the corresponding Chief Technical Advisor for the output). Tentatively, pending GoM agreement, UNDP proposes that TWG 1 be co-chaired by relevant government counterparts based on designation to be approved by the .Project Board. Responsible parties are represented in TCs without voting rights. Donors are not represented in TCs as they are first and foremost meant to be a dialogue and problem-solving space for government and the Project team. TCs cannot change the overall nature of an Output and its expected results but will prepare and approve workplans as they see fit and approve new partnerships to implement the Output as needed. TCs meet on a quarterly basis.

The UNDP Country Office will perform a **Project Assurance** role, in support of the Project Board, by carrying out objective and independent project oversight and monitoring functions to ensure strategic and substantive coherence between the UNDP Country Programme and SERIP, project relevance and compliance with quality standards, completion of appropriate project management milestones and implementation according to UNDP rules and regulations. This role cannot be delegated to the Project Manager. A UNDP Programme Officer, or M&E Officer, will hold the Project Assurance role on behalf of UNDP.

The project falls under the UNDP Country Programme 2018-2022 and as such the project will also be reviewed by the **Country Programme Board**, which is responsible for overseeing and guiding overall implementation of the Country Programme. The Country Programme Board is co-chaired by UNDP and the Ministry of Planning and Finance and is made-up of government counterparts and contributing donors. The Country Programme Board will be convened annually or as requested by the Chairs.

Project Staffing and Implementation:

Project implementation will be ensured by a dedicated staff, organized in two teams: Management and Technical Advice.

Project Management: The Project Manager is responsible for executing project funds according to the work plans established by the Technical Teams and approved by the Project Board. S/he is also in charge of overall monitoring and reporting to the Board and donors. S/he will be the interface between the Technical Teams and

the Project Support, as well as UNDP Country Office's Operations structure and the Deputy Country Director / Programme. The Project Manager should ensure that the utilization of project funds remains within the framework set by Project Document and approved AWP, allowable deviation from time and budgets, Project Board/UNDP Country Office decisions, UNDP Rules and Regulations, national legislation. The Project Manager will provide direction and guidance to the Project Support (see below). The Project Manager will also have an important cross-output coordination function. S/he will convene regularly Output coordinators to discuss coordination of the different work streams and explore additional synergies. The Project Manager will also represent the Project in UNDP Country Programme meetings to ensure good coordination with other Projects. Finally, the Project Manager will report to the Project Board and UNDP senior management on the implementation of the project and update periodically on the project management and assurance mechanisms in place.

The Project Manager is supported in his/her functions by **Project Support** team, providing assistance for management and administration. The Project Support will assist in mobilizing project resources and the support of UNDP Operations (human resources, travel, finances, procurement) to carry out activities and produce outputs in line with the approved AWP, including the management and oversight of the responsible parties for the procurement of goods and services, as specified within the AWP. The Project Support will liaise with Output Teams to monitor progress in the implementation of the project, assess progress in the achievement of outputs and targets and in the use of financial resources, review project activities per set quality criteria, monitor issues and risks and update these in the project issues and risks logs. Project Quarterly Progress Reports and the Annual Review Report will be prepared and submitted through the Project Manager to the UNDP Country Office for onward submission to the Project Board.

Output Technical Teams are in charge of all inputs needed to fulfil UNDP's commitment to providing policy advice, technical assistance and capacity development under this Project. OTTs are led by technical advisors (sometimes shared across outputs) and each is composed of a different number of international and national experts, as per needs of the output. All OTT staff report to their respective OTT Lead and provide both technical and management inputs for organizing activities implemented within their Output at both Union and S/R levels. OTT Leads ensure senior-level liaison with project partners. . Their role is also to make sure that key senior government officials are aware of all Project activities on-going in their S/R and provide advice for capitalizing on possible synergies.

IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Myanmar and UNDP, signed on 22 March 2018. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

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

X. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. 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.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
 - a. Consistent with the Article III of the SBAA, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - ii. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
 - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
 - c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
 - d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a)

UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

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

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

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

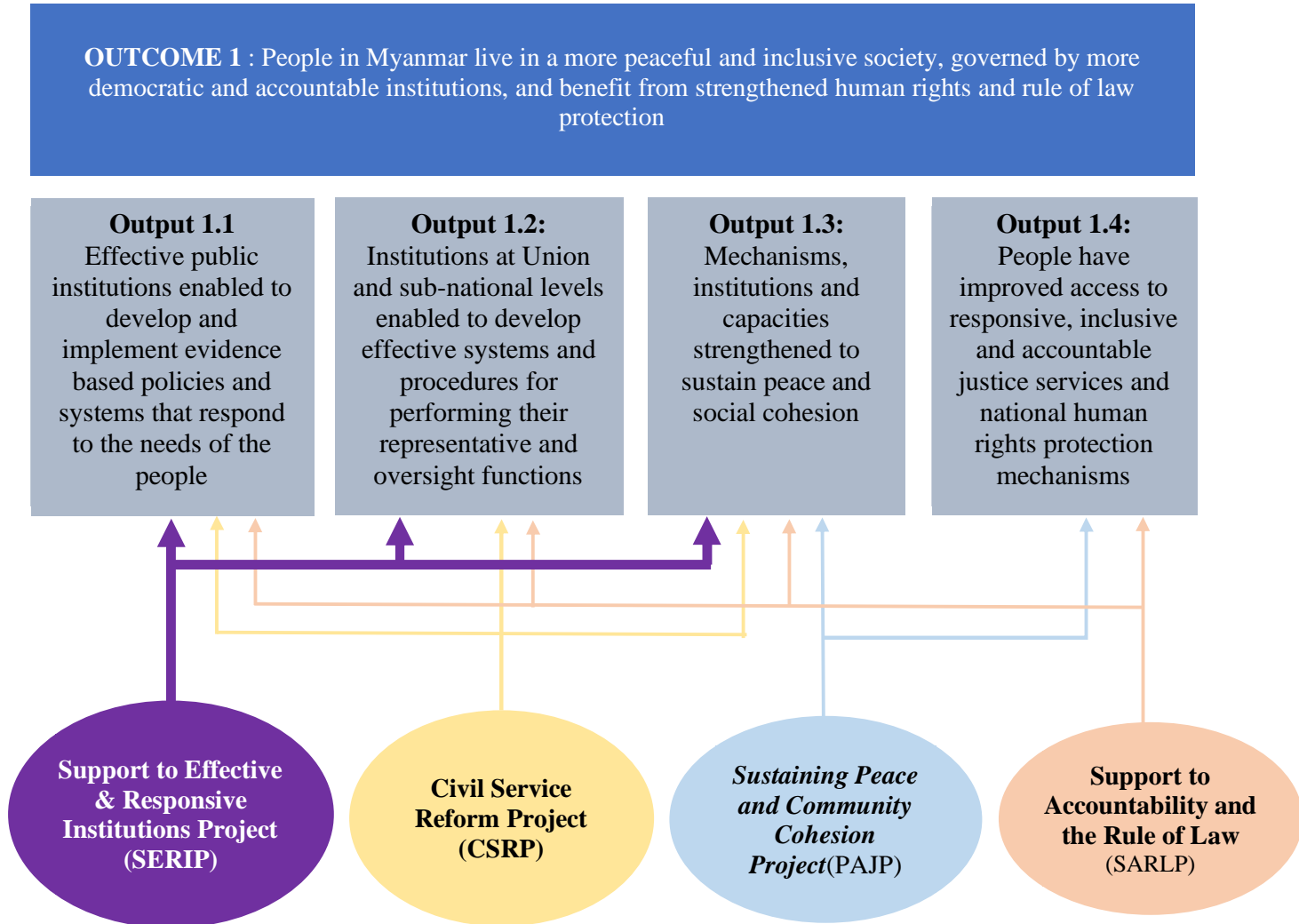
Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

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

XI. ANNEXES

- 1. SERIP's Links to CPD Outputs**
- 2. Project Activities Phasing Schedule at S/R Level**
- 3. SERIP's Links to other UNDP projects**
- 4. Project Quality Assurance Report**
- 5. Social and Environmental Screening Template**
- 6. Risk Analysis.**
- 7. Capacity Assessment:** to be added later
- 8. Project Board Terms of Reference and TORs of key management positions:** to be added later

ANNEX 1: SERIP's Links to CPD Outputs



ANNEX 2: Project Phasing Schedule at S/R Level

Output		2018	2019	2020	2021	2022	Activities concerned
1. Data for development				Bago (5) ⁸² Mon (10) Rakhine (5)	Rakhine (5) Mon (5)		<ul style="list-style-type: none"> Support to TS level data collection with is reported here, and aligned with TS planning schedule in O4. Support to CSO capacities at S/R level will cover all 14 S/Rs.
2. Center of Government				Bago Mon Rakhine	Bago Mon Rakhine	Bago Mon Rakhine	<ul style="list-style-type: none"> Support to Chief Minister's Offices for executive coordination: capacity-building, policy advice, management tools, etc.
3. Parliamentary Processes		Rakhine Mon	Mon Yangon (Bago) Rakhine	Mon Yangon (Bago) Rakhine Kachin	Mon Yangon (Bago) Rakhine Kachin	Mon Yangon (Bago) Rakhine Kachin	<ul style="list-style-type: none"> Setting S/R Hub and providing capacity-building support to S/R Hluttaws through these, with emphasis on Hluttaws in Y, Bago, Mon, Kachin) and Rakhine. Support to Rakhine Hluttaw from 2021 by Yangon Hub. Before that, support to Shan Hub.
4. Subnational Governance	S/R Strategic Planning	Bago Mon Rakhine	Bago Mon Rakhine	Bago Mon Rakhine	Bago Mon Rakhine	Bago Mon Rakhine	<ul style="list-style-type: none"> Support to SDG localization in S/RGs plans and practices. Support to multi-stakeholder long-term planning around key SDGs for the S/R's development.
	Township Planning and Grants	Rakhine(5) Total TS = 5	Rakhine (5) Total = 5	Rakhine (5) Kachin (tbc) Total = 5	Rakhine (tbc) Kachin (tbc)	Kachin (tbc)	<ul style="list-style-type: none"> Township planning process, grant allocation, project appraisal and project execution Building capacities of S/R Planning Facilitation Teams for replication. 3 consecutive years in each TS
	Urban Services	Bago	Bago Mawlamyine	Bago Mawlamyine Sittwe	Bago Mawlamyine Sittwe	Bago Mawlamyine Sittwe	<ul style="list-style-type: none"> Assessments and process mapping for urban environmental services. Capacity-building, innovation grants, support to local tax collection.

List of Townships included in Output 4 as per 28 Sept, 2019

- Rakhine State: Thandwe, Gwa, Toungup, Ramree and Ponnagyun. Mannaung, and Pauktaw to be included starting from FY 2019/20

⁸² # of Townships concerned

ANNEX 3: Linkages between the SERIP and other UNDP projects

In black: benefits from other projects to SERIP. In red: SERIP's benefits to other projects.

SERIP Output	Civil Service Reform (CSR) Project	Sustaining Peace Project	Support to Accountability & the Rule of Law Project	Environment / Ecosystem Services	Inclusive Growth
1/ Data for Development	<ul style="list-style-type: none"> HRM strengthening in CSO Implementation of opinion surveys on civil service 	<ul style="list-style-type: none"> Facilitate access to EAO areas for surveys & data Training of CSO staff on conflict-sensitivity Provision of better disaggregated data for ethnic states to support peace negotiations 	<ul style="list-style-type: none"> Integrity & ethics trainings for CSO staff Support to Open Government initiative Implementation of opinion surveys on civil service and justice Better quality data for HRBA 	<ul style="list-style-type: none"> Definition of environmental indicators most needed for risk-informed development. Methodological support to env. indicators statistics. Capacity-building to statisticians in environmental governance agencies. Collaboration on risk measurement and modelling Access to territorially-disaggregated data. 	<ul style="list-style-type: none"> Technical support for definition and harmonization of statistics needed for economic and business sectors. Conduct of business surveys.
2/ Policy Management	<ul style="list-style-type: none"> HRM strengthening in Cabinet institutions (U-S/R) Support to policy coherence and to formulation for CSR Linking public sector performance measurement to individual performance management. 	<ul style="list-style-type: none"> Linking of EAOs into policy processes. Training of senior executives & staff on conflict-sensitivity Support to policy coherence and to formulation for key policies for peace process 	<ul style="list-style-type: none"> Stronger oversight over policy management for accountability & effectiveness. Integrity & ethics trainings for CoG staff Support to policy coherence and to formulation on anti-corruption and justice sector. Support to integrating accountability and RoL principles into policy, law-making and plans 	<ul style="list-style-type: none"> Methodology for strategic impact assessments of government policies. Technical support to defining mainstreaming tools for env. and resilience into policy management. Support to policy coherence and to policy formulation in Planet area. Support to coordination between ministries, including MoNREC, MoSWRR with other line ministries. 	<ul style="list-style-type: none"> Technical support to defining mainstreaming tools for env. and resilience into policy management. Support to policy coherence and to policy formulation in Prosperity area. Support to coordination between ministries, including Ministry of Economy and other related ministries.
3/ Parliamentary Processes	<ul style="list-style-type: none"> HRM strengthening in Hluttaw administrations (U-S/R) Legislating on CSR laws 	<ul style="list-style-type: none"> Training of MPs & staff on conflict-sensitivity 	<ul style="list-style-type: none"> Building capacities of MPs on other functions (oversight, representation) Building MP capacities on law-making 	<ul style="list-style-type: none"> Building capacities of MPs on environmental topics. Access to Hluttaw committees for mainstreaming env. policies into law-making 	<ul style="list-style-type: none"> Building capacities of MPs on economic topics. Access to Hluttaw committees for mainstreaming poverty alleviation policies into law-making.
4/ Subnational Governance	<ul style="list-style-type: none"> HRM strengthening in S/RG Deconcentration in line ministries Increased demand for deconcentration 	<ul style="list-style-type: none"> Training of SRGs and TAs on conflict-sensitivity Facilitated access to EAO areas and conflict resolution / social cohesion resources Platforms for inclusive dialogue with Government 	<ul style="list-style-type: none"> Participation into S/R and TS planning facilitated by RoL Centers. HRBA to strategic S/R planning Tools for stronger accountability in service delivery Integrity & ethics trainings for S/RG and TA staff. Linking with social accountability initiatives for grant execution Access to planning & budgeting and service delivery institutions. 	<ul style="list-style-type: none"> Technical expertise on env. mainstreaming for local planning. Provision of tools for environmental mainstreaming into local development. Solutions for climate change, disaster resilience and env. conservation. TS grant co-funding (Rakhine) Access to local development processes Co-funding of local green projects. 	<ul style="list-style-type: none"> Technical expertise and tools on better integration economic aspects into local dev planning. Support to S/R strategic planning for economic matters. TS grant co-funding Support to DAO roles for business services Access to local development & service delivery institutions Co-funding of LED projects.

ANNEX 4: Project Quality Assurance Report

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL				
OVERALL PROJECT				
EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.
DECISION				
<ul style="list-style-type: none"> • APPROVE – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner. • APPROVE WITH QUALIFICATIONS – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner. • DISAPPROVE – the project has significant issues that should prevent the project from being approved as drafted. 				
RATING CRITERIA				
STRATEGIC				
<p>1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time. • 2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence. • 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2		
	1			
	Evidence			
	<p>Theory of Change clearly links intervention logic to the following UNDP CPD (2018-2022) outputs:</p> <p>Output 1.1: Effective public institutions enabled to develop and implement evidence based policies and systems that respond to the needs of the people.</p> <p>Output 1.2: Institutions at Union and sub-national levels enabled to develop effective systems and procedures for performing their representative and oversight functions.</p> <p>Output 1.3: Mechanisms, institutions and capacities strengthened to sustain peace and social cohesion.</p> <ul style="list-style-type: none"> - SERIP Theory of Change Diagram - SERIP draft Project Document (<i>data and evidence used for designing Theory of Change cited fully within the Project Document</i>) - SERIP draft Project Document Annex 1. SERIP's Links to CPD Outputs - UNDP draft Country Programme Document 			
	3	2		
1				

<p>2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</p> <ul style="list-style-type: none"> • 3: The project responds to one of the three areas of development work⁸³ as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas⁸⁴; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i> • 2: The project responds to one of the three areas of development work¹ as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i> • 1: While the project may respond to one of the three areas of development work¹ as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan. 	<p style="text-align: center;">Evidence</p> <p>Project Objectives accurately mirroring Strategic Plan area of work 2: Inclusive and effective democratic governance. The project Results Framework include solutions presented in the UNDP Strategic Plan 2018-2021 under signature solution 2: Strengthen effective, accountable and inclusive governance.</p> <ul style="list-style-type: none"> - UNDP, Strategic Plan (2018-2021) - SERIP Results Framework 						
RELEVANT							
<p>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) <i>(all must be true to select this option)</i> • 2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. <i>(both must be true to select this option)</i> • 1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project. <p><small>*Note: Management Action must be taken for a score of 1, or select not applicable.</small></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> <p>Select (all) targeted groups: (drop-down)</p> <p style="text-align: center;">Evidence</p> <p>SERIP will take area-based approach in five geographic areas, prioritizing specific target groups that are currently underrepresented in public decision making (namely, women and people in conflict affected areas). The rationale for selecting geographic areas and how beneficiaries will have meaningful participation are explained in detail in the SERIP Project Document section on Stakeholder Engagement (pg. 36)</p> <ul style="list-style-type: none"> - SERIP draft Project Document </td> </tr> </table>	3	2	1		<p>Select (all) targeted groups: (drop-down)</p> <p style="text-align: center;">Evidence</p> <p>SERIP will take area-based approach in five geographic areas, prioritizing specific target groups that are currently underrepresented in public decision making (namely, women and people in conflict affected areas). The rationale for selecting geographic areas and how beneficiaries will have meaningful participation are explained in detail in the SERIP Project Document section on Stakeholder Engagement (pg. 36)</p> <ul style="list-style-type: none"> - SERIP draft Project Document 	
3	2						
1							
<p>Select (all) targeted groups: (drop-down)</p> <p style="text-align: center;">Evidence</p> <p>SERIP will take area-based approach in five geographic areas, prioritizing specific target groups that are currently underrepresented in public decision making (namely, women and people in conflict affected areas). The rationale for selecting geographic areas and how beneficiaries will have meaningful participation are explained in detail in the SERIP Project Document section on Stakeholder Engagement (pg. 36)</p> <ul style="list-style-type: none"> - SERIP draft Project Document 							
<p>4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives. • 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives. 	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> <p style="text-align: center;">Evidence</p> <p>SERIP and its Theory of Change have been informed by external evaluations of UNDP Myanmar's pillars and outputs, existing country analysis and past lessons learned.</p> <ul style="list-style-type: none"> - SERIP draft Project Document </td> </tr> </table>	3	2	1		<p style="text-align: center;">Evidence</p> <p>SERIP and its Theory of Change have been informed by external evaluations of UNDP Myanmar's pillars and outputs, existing country analysis and past lessons learned.</p> <ul style="list-style-type: none"> - SERIP draft Project Document 	
3	2						
1							
<p style="text-align: center;">Evidence</p> <p>SERIP and its Theory of Change have been informed by external evaluations of UNDP Myanmar's pillars and outputs, existing country analysis and past lessons learned.</p> <ul style="list-style-type: none"> - SERIP draft Project Document 							

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

⁸⁴ 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

<ul style="list-style-type: none"> • 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>		
<p>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i> • 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i> • 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2
	1	
	<p style="text-align: center;">Evidence</p> <p>SERIP has adopted a systematic mainstreaming approach to reduce factors of marginalization through policy-making, planning/budgeting and service delivery, and among these, gender inequality is prioritized. SERIP has dedicated activities to increase the use of gender disaggregated statistics, the capacity to apply a gender-differentiated analysis among decision-makers, including MPs, and planners, the participation of women in decision-making (both as elected representatives and civil servants), the consultation of women's groups during planning and budgeting processes, especially at the grassroots level, the provision of practical analytical and programming tools highlighting the differentiated impact on women of policies, plans and budgets in order to render public sector management more gender-sensitive. SERIP Results Framework includes indicators measuring gender equality at output and activity level.</p> <ul style="list-style-type: none"> - SERIP draft Project Document - SERIP Results Framework 	
<p>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i> • 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified. • 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2
	1	
	<p style="text-align: center;">Evidence</p> <p>SERIP has comprehensively identified UNDP's advantages in Myanmar's development context and established linkages with other development actors. SERIP presents how each of SERIP's output areas will leverage partnerships under SERIP section Results and Partnerships in detail.</p> <p>SERIP has also identified options for south-south and triangular cooperation.</p> <ul style="list-style-type: none"> - SERIP draft Project Document 	
SOCIAL & ENVIRONMENTAL STANDARDS		
	3	2

<p>7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (<i>all must be true to select this option</i>) • 2: Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. • 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered. <p>*Note: Management action or strong management justification must be given for a score of 1</p>	<p style="text-align: center;">1</p> <p style="text-align: center;">Evidence</p> <p>SERIP will support the development of systems, procedures and institutions for duty-bearers to better understand their responsibilities, more inclusively and meaningfully consult with people on their needs and for right-holders to have better access to decision-making by duty-bearers and opportunities for exerting their social accountability.</p> <p>- SERIP draft Project Document</p>	
<p>8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (<i>all must be true to select this option</i>). • 2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget. • 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered. <p>*Note: Management action or strong management justification must be given for a score of 1</p>	<p style="text-align: center;">3</p>	<p style="text-align: center;">2</p> <p style="text-align: center;">1</p> <p style="text-align: center;">Evidence</p> <p>SERIP shows clear evidence of enhancing environmental sustainability and integrating poverty-environment linkages. SERIP will help mainstream environmental safeguards norms into regular policy-making, planning & budgeting, and service delivery processes used in public sector. SERIP, for example, will work with the government to ensure that environmental sustainability is systematically measured as a criteria of success (or failure) in the implementation of any public policy and budget.</p> <p>- SERIP draft Project Document - SERIP Annex 5. Social and Environmental Screening Template</p>
<p>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>	<p style="text-align: center;">Yes</p>	<p style="text-align: center;">No</p> <p>Yes. See fully completed Social and Environmental Screening Template.</p> <p>- SERIP Annex 5. Social and Environmental Screening Template</p>
MANAGEMENT & MONITORING		
<p>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (<i>all must be true to select this option</i>) 	<p style="text-align: center;">3</p>	<p style="text-align: center;">2</p> <p style="text-align: center;">1</p> <p style="text-align: center;">Evidence</p> <p>All indicators and targets identified but some baselines are to be undertaken during 2018.</p> <p>- SERIP Draft Project Document</p>

<ul style="list-style-type: none"> • 2: The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (<i>all must be true to select this option</i>) • 1: The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>		
<p>11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</p>	<p>Yes (3)</p>	<p>No (1)</p>
<p>12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (<i>all must be true to select this option</i>). • 2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (<i>all must be true to select this option</i>) • 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p>3</p>	<p>2</p>
	<p>1</p>	
	<p style="text-align: center;">Evidence</p> <p>Project Board structure defined; individual members will be identified before the implementation of the Project begins.</p> <ul style="list-style-type: none"> - SERIP draft Project Document 	
<p>13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (<i>both must be true to select this option</i>) • 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. • 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document. <p>*Note: Management Action must be taken for a score of 1</p>	<p>3</p>	<p>2</p>
	<p>1</p>	
	<p style="text-align: center;">Evidence</p> <p>Risks are identified with related mitigation measures</p> <ul style="list-style-type: none"> - SERIP Draft Project Document Risk log 	
<p>EFFICIENT</p>		

<p>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.</p>	<p>Yes (3)</p>	<p>No (1)</p>
<p>15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)</p>	<p>Yes (3)</p>	<p>No (1)</p>
<p>16. Is the budget justified and supported with valid estimates?</p> <ul style="list-style-type: none"> • 3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. • 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. • 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget. 	<p>3</p>	<p>2</p>
	<p>1</p>	
	<p style="text-align: center;">Evidence</p> <p>Multi-year budget covering all activities, currency exchange fluctuations with allocated funding sources is developed</p> <ul style="list-style-type: none"> - SERIP draft Project Document Budget 	
<p>17. Is the Country Office fully recovering the costs involved with project implementation?</p> <ul style="list-style-type: none"> • 3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.) • 2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. • 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project. <p><small>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</small></p>	<p>3</p>	<p>2</p>
	<p>1</p>	
	<p style="text-align: center;">Evidence</p> <p>Budget fully covers all project costs that are attributable to the project.</p> <ul style="list-style-type: none"> - SERIP draft Project Document Budget 	
<p>EFFECTIVE</p>		
<p>18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. <i>(both must be true to select this option)</i> • 2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the 	<p>3</p>	<p>2</p>
	<p>1</p>	
	<p style="text-align: center;">Evidence</p> <p>SERIP includes strong justification for choosing the selected modality. While SERIP will use UNDP direct implementation modality, SERIP also includes activities working with government institutions and an international NGO as responsible parties. HACT assessments have already been conducted for the responsible parties, including the the Central Statistical</p>	

<p>implementation modality chosen is consistent with the results of the assessments.</p> <ul style="list-style-type: none"> • 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p>Organization of the Ministry of Planning and Finance and the Rakhine State Government</p> <ul style="list-style-type: none"> - SERIP draft Project Document - HACT assessment Rakhine State Government - HACT assessment Central Statistical Organization - HACT Assessment Rakhine State Government 	
<p>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</p> <ul style="list-style-type: none"> • 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions. • 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions. • 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project. 	3	2
	1	
	<p style="text-align: center;">Evidence</p> <p>Key targeted groups, prioritizing marginalized and excluded populations have been engaged in the design of the project, and will continuously be consulted throughout the implementation and evaluations of the project.</p> <ul style="list-style-type: none"> - SERIP draft Project Document 	
<p>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</p>	Yes (3)	No (1)
<p>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</p> <p>*Note: Management Action or strong management justification must be given for a score of "no"</p>	Yes (3)	No (1)
<p style="text-align: center;">Evidence</p> <p>SERIP draft Project Document has been thoroughly reviewed by UNDP gender experts and being strengthened to achieve GEN2.</p> <ul style="list-style-type: none"> - SERIP draft Project Document - Comments from UNDP gender experts 		
<p>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project has a realistic work plan & budget covering the duration of the project <i>at the activity</i> level to ensure outputs are delivered on time and within the allotted resources. • 2: The project has a work plan & budget covering the duration of the project at the output level. • 1: The project does not yet have a work plan & budget covering the duration of the project. 	3	2
	1	
	<p style="text-align: center;">Evidence</p> <p>See multiyear work plan with activity budget breakdown</p> <ul style="list-style-type: none"> - SERIP draft Project Document multi-year work plan 	
SUSTAINABILITY & NATIONAL OWNERSHIP		

<p>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. • 2: The project has been developed by UNDP in close consultation with national partners. • 1: The project has been developed by UNDP with limited or no engagement with national partners. 	3	2
	1	
	<p>Evidence</p> <p>National partners have been closely consulted through series of formal and informal consultations during the development of the UNDP Country Programme Document, which identified key directions of UNDP's six new projects, including the SERIP. Afterwards, SERIP design team had bilateral discussions with national partners to outline intervention areas.</p> <p>- UNDP Country Programme Document consultation outcomes - Output Board Meeting Minutes</p>	
<p>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. • 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. • 2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. • 1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. • 1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions. 	3	2.5
	2	1.5
	1	
<p>Evidence</p> <p>Capacity needs are identified and activities outlined; capacity assessments have been either partially undertaken, ongoing, or will be conducted more as initial set of the activities.</p> <p>- Expert review of statistical capacities in government and training needs (complete) - Expert review of quality of SDG data sources (complete) - UNDP capacity mapping at sub-national level (complete) - HACT assessments for Rakhine State Government, and Central Statistical Organization (complete) - Parliament situation analysis (ongoing)</p>		
<p>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?</p>	Yes (3)	No (1)
<p>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?</p>	Yes (3)	No (1)

ANNEX 5: Social and Environmental Screening Template

Project Information

Project Information	
1. Project Title	Supporting Effective & Responsive Institutions Project (SERIP)
2. Project Number	
3. Location (Global/Region/Country)	Myanmar

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 will support the development of systems, procedures and institutions for duty-bearers to better understand their responsibilities, more inclusively and meaningfully consult with people on their needs and for right-holders to have better access to decision-making by duty-bearers and opportunities for exerting their social accountability. The project applies the following approach to promote human rights: 1) human rights mainstreamed into all training packages delivered to both duty bearers and rights holders; 2) facilitating regular dialogue between duty bearers and right holders on policy, development and service needs; 3) mainstreaming a systematic vulnerability lens onto decision-making processes around public policy management, state resource appropriation, service delivery; 4) strengthening monitoring and evaluation systems over the government's actions that effectively measure resulting development progress (or absence of) to increase the accountability of decision-makers; 5) supporting social accountability mechanisms to open government processes and practices up to the public; 6) systematically organizing access of representatives from marginalized groups, in particular women, conflict-, disaster- and climate change-affected populations to all project activities.
<i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i>
The Project has adopted a systematic mainstreaming approach to reduce factors of marginalization through policy-making, planning / budgeting and service delivery. Three core factors are considered, and among these, gender inequality is prioritized. The intent is that, gender equality becomes a systematic element guiding policy-making in all areas of public policies (not just those related to women's rights or social welfare), be considered at a strategic level (and not solely in terms of service delivery) and that decreasing gender inequality in access to public goods and services be systematically considered as a policy objective and measure of success of the state's performance. The Project has dedicated activities to increase the use of gender disaggregated statistics, the capacity to apply a gender-differentiated analysis among decision-makers, including MPs, and planners, the participation of women in decision-making (both as elected representatives and civil servants), the consultation of women's groups during planning and budgeting processes, especially at the grassroots level, the provision of practical analytical and programming tools highlighting the differentiated impact on women of policies, plans and budgets in order to render public sector management more gender-sensitive.
<i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i>
The Project has adopted a systematic mainstreaming approach to reduce factors of marginalization through policy-making, planning / budgeting and service delivery. Three core factors are considered, and among these, environment is prioritized as a source of marginalization when not properly managed for populations leaving in locations rich in extractives, and/or in disaster-exposed and/or climate change-affected areas. Environment is also considered in terms of the differentiated effect of pollution on certain categories of populations, such as the urban poor. The Project will help mainstream environmental safeguards norms, developed by relevant institutions, into regular policy-making, planning & budgeting, and service delivery processes used in public sector. It will support existing processes and institutions mandated to increase the environmental responsive of the government's work and

reduce environmental vulnerabilities, with technical and process support. Statisticians across different line ministries and agencies will be trained to be better able to measure environmental risks, decision-makers trained to better use risk modelling and results of environmental impact assessments into shaping their decisions and put more emphasis on prevention of environmental crises. The Project will also work with GoM to ensure that environmental sustainability is systematically measured as a criteria of success (or failure) in the implementation of any public policy and budget.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks?	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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)?
<i>Risk Description</i>	<i>Impact and Probability (1-5)</i>	<i>Significance (Low, Moderate, High)</i>	<i>Comments</i>	<i>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.</i>
Risk 1: Strategic Development Plans prepared by S/R Governments with Project support might overlook the needs of certain vulnerable groups, including indigenous people, not well represented among the government staff and/or S/R MPs.	I = 2 P = 3	Moderate	S/R Strategic Plans are meant to be guiding frameworks for a start, no single investment decision would be made at this stage – hence potential negative impact on certain minority groups would not be automatic. Other checks and balances would apply before these plans result in a programmatic decision in S/RG.	All large-scale projects or public policy in government needs to be screened through a Strategic Environmental Impact Assessment process, and SERIP will support S/RGs in applying this rule. Also, the participation of environmental agencies will be systematic in all planning process, as well as of citizen representatives and CSOs, especially through the Rule of Law Centers supported by UNDP, which have capacities for HRBA. MPs representing minority groups and women’s MPs will be also receiving additional support to make sure that they have the necessary skills to represent the interests of their constituencies.
Risk 3: People not included in regular W/VTA and women representative consultations may not be informed about opportunities for participation in project.	I = 3 P = 3	Moderate	Apart from Risk 1, all other potential SES risks posed by SERIP to right-holders or natural assets concern planning and investment decisions made through: (i) TS planning and grants; and (iii) urban service delivery.	Utilise multiple outreach channels to inform public about project. Utilise local CSOs to ensure inclusion.
Risk 4: Communities with higher incidence of vulnerable groups not selected for sub-grant projects may feel excluded from project benefits.	I = 2 P = 4	Moderate		Project selection criteria to include assessment of level of inclusive benefit for all components of communities, including vulnerable groups. Develop comprehensive communications strategy and equip W/VTAs, women representatives, local CSOs and township administrations to give clear messages on project purpose.
Risk 5: Project funded constructions (e.g. school renovation) might be undertaken by contractors at substandard levels posing safety risks to communities	I = 3 P = 3	Moderate		Engage civil engineer to support township administrations during procurement, planning and implementation stages. Also to conduct spot check at construction sites.

Risk 6: Contractor labour might be exposed to physical health risks at construction sites	I = 3 P = 3	Moderate		Engage civil engineer to train contractors and ensure minimum safety measures at construction sites. Develop minimum safety conditions as part of contracts.
QUESTION 4: What is the overall Project risk categorization?				
Select one (see SESP for guidance)			Comments	
<i>Low Risk</i>		<input type="checkbox"/>		
<i>Moderate Risk</i>		<input checked="" type="checkbox"/>	Project includes limited social risks mainly related inclusion of vulnerable/minority groups, capacity of stakeholders to uphold human rights and safety related to project funded construction. These risks may be mitigated by planning and targeting capacity building measures on inclusion and facilitation, designing a comprehensive communication strategy and applying standard best practices e.g. related occupational safety.	
<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"/>		
<i>Principle 2: Gender Equality and Women's Empowerment</i>		<input type="checkbox"/>		
<i>1. Biodiversity Conservation and Natural Resource Management</i>		<input checked="" type="checkbox"/>		
<i>2. Climate Change Mitigation and Adaptation</i>		<input checked="" type="checkbox"/>		
<i>3. Community Health, Safety and Working Conditions</i>		<input checked="" type="checkbox"/>	Bago Region Construction Control Authority (BRCCA), consist of civil engineers, has been recently established with a mandate to assure quality of government project implementations. BRCCA will be one of key institutions SERIP will engage with in order to monitor SES requirements as the project is rolled out.	
<i>4. Cultural Heritage</i>		<input type="checkbox"/>		
<i>5. Displacement and Resettlement</i>		<input type="checkbox"/>		
<i>6. Indigenous Peoples</i>		<input type="checkbox"/>		

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

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?	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?	Yes
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?	No
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?	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?	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?	Yes
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?	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
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water?	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?	Yes
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant 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?	Yes
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)?	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)?	Yes
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	Yes
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?	Yes
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. knowledge, innovations, practices)?	No
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?	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?	No
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)?	No
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?	N/A
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?	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
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex 6: Risk Log

(Note: all risks in terms of negative Social and Environmental Sustainability impacts of the Project are addressed in Annex 5).

#	Description	Date Identified	Type	Probability (P) Impact (I)	Countermeasures	Owner	Submitted, updated by	Last Update	Status
1	Centre of government institutions at Union & S/R levels reluctant to let international organizations as UNDP provide support on executive coordination for policy-making and other cabinet processes.	30/09/17	Political	P = 3 I = 4	<ul style="list-style-type: none"> Use of political economy analysis approach to best tailor UNDP offer to CoG counterparts at Union and in each S/R. Prioritize “non-threatening” support first on administrative/technical processes. Adopt capacity development facility approach rather than long-term support plan at first. Limit international staff footprint at CoG level if required, favouring senior national advisory support. 	Deputy CD	Integrated Task Team (ITT) 1		
2	Senior officials reluctant to participate in a Project that attempts to establish more effective strategic & working relations between executive and legislative branch and insisting on ‘independent’ project support.	30/09/17	Political	P = 3 I = 4	<ul style="list-style-type: none"> Promoting jointly the concepts of core government functions, legislative executive coordination and responsible government as necessary for Project impact. Present to MPU, an overall concept note of the combined support (SERIP, SARLP) to parliamentary development by UNDP, showing that all Hluttaw functions are considered, with overall budget envelope. Maintaining flexible implementation / integration modalities between Output 3 and other outputs, to adapt to possible sensitivities from Hluttaw side. 	Deputy CD	ITT 1		
3	Little or no progress/interest by GoM in developing the local governance agenda	30/09/17	Political	P = 2 I = 5	<ul style="list-style-type: none"> Board meetings to discuss/confirm support for local governance agenda Mid-Term Review (2020) to assess situation 	CTA O4	ITT 1		
4	Stalled or abrupted peace process	30/09/17	Political	P = 3 I = 4	<ul style="list-style-type: none"> Board meetings to review implications on overall conflict-sensitive approach to project implementation. Mid-Term Review (2020) to assess situation 	Deputy CD	ITT 1		
6	Key partner institutions needed for multi-level approach (MoPF, Hluttaws, GAD) have limited absorption capacity to be engaged on different project activities and at different levels	30/09/17	Institutional		<ul style="list-style-type: none"> Establish incremental work plan to not overload institution, and phase in S/R work one-by-one on yearly basis. Identify carefully most strategic entry points (departments, units) in each institution and at each level and focus on these. Always detail what is expected from different levels / departments in the institution for any particular activity. Strictly follow applicable line of command structures between Union, S/R, TS levels when discussing activities with each institution. 	CTAs	ITT 1		

#	Description	Date Identified	Type	Probability (P) Impact (I)	Countermeasures	Owner	Submitted, updated by	Last Update	Status
7	S/R Governments fail to promote project achievements at subnational level to Union government to influence policy-making	30/09/17	Institutional	P=2 I= 3	<ul style="list-style-type: none"> Facilitate peer exchange nationally/internationally on policy advocacy approaches Participation of S/R Chief Ministers in all project governance bodies. Regular lessons learnt activities gathering Union and S/R level institutions. Linkages to S/R Hluttaws through Output 3 to create awareness of replicable project results. 	CTA O4	ITT 1		
8	Continued future minimal government funds/revenue for discretionary fund investment limits project results sustainability	30/09/17	Institutional	P=2 I=4	<ul style="list-style-type: none"> Discussion on support for local governance agenda in project board meetings. UNDP CO to advocate for policy change on budget allocation and revenue collection, through Sector Coordination Group and with development partners. Mid-Term Review (2020) to assess situation 	Governance TL CTA O4	ITT 1		
10	Misuse of grant funds allocated to different institutions	30/09/17	Fiduciary	P= 3 I= 4	<ul style="list-style-type: none"> Use of HACT assessments and external audit as guidance for financial management capacity building Close monitoring of procurement process by beneficiary institution staff 	Project Manager	ITT 1		
11	Grant-funded projects delivered at sub-standard quality	30/09/17	Fiduciary	P= 4 I= 3	<ul style="list-style-type: none"> Grant instalments disbursed against quantitative and qualitative deliverables Progress monitoring joint with recipient institution Awareness raising of complaint mechanism 	Project Manager CTAs	ITT 1		
12	UNDP faces problems to coordinate different activities from different outputs at S/R level (area-based model)	30/09/17	Operational	P = 2 I = 3	<ul style="list-style-type: none"> Implement restructuring of UNDP CO to better serve integrated programming approach Develop integrated area-based action plans (across all projects) Empower S/R Project Coordinators to play active coordination role between output-specific staff in each S/R and with partner institutions across outputs. 	DCD Project Manager	ITT 1		
13	Project fails to maintain equal standards for implementation between UNDP and responsible parties	30/09/17	Operational	P=2 I=3	<ul style="list-style-type: none"> Joint monthly coordination, learning sharing and work planning with RPs Peer exchange on implementation standards 	Project Manager CTAs	ITT 1		
14	Difficult in accessing certain project townships and counterparts, especially in conflict-affected or disaster-affected areas	30/09/17	Operational Security	P=3 I=2	<ul style="list-style-type: none"> Use conflict-sensitive approach in project design and conduct conflict analysis in target areas. Work through national ISO where access constraints considered high. 	Project Manager	ITT 1		
15	Limited women's presence in the political leadership and patriarchal culture limit the reach of gender equality approach and results for women.	30/09/17	SES	P=3 I=4	<ul style="list-style-type: none"> Empower / champion women civil servants at all levels to participate in decision-making around project activities. Specific training support for women MPs, women officials, women VTAs. 	Gender Advisor	ITT 1		

#	Description	Date Identified	Type	Probability (P) Impact (I)	Countermeasures	Owner	Submitted, updated by	Last Update	Status
					<ul style="list-style-type: none"> • Establish clarity / negotiate gender equality goals with project partners in Project Board and for all activities. • Collaborate with gender equality advocates in and out of government and GE campaigns. 				
16	Efforts deployed to mainstream environmental considerations, especially for project appraisal, face stiff resistance from public officials under pressure to accelerate infrastructure and economic development and from private sector interests.	30/09/17	SES	P = 4 I = 4	<ul style="list-style-type: none"> • Always rely and promote Myanmar rules and regulations in these areas and support institutions in charge of applying them (rather than trying to introduce higher international standards). • Invite private sector to participate in all planning activities, in particular strategic planning. • Use Agenda 2030 & MSDP as a means to promote coherence between economic, social, infrastructure and environmental development dimensions. 	CTAs	ITT 1		