# SIGNATURE PAGE

Country: <u>Malaysia</u>

**UNDAF Outcome(s)/Indicator(s):**
*(Link to UNDAF outcome., If no UNDAF, leave blank)*

<u>Not Applicable (N.A)</u>

**Expected Outcome(s)/Indicator (s):**

<u>MYFF Service line 2.7: Public Administration Reform and Anti-Corruption</u>

*(CP outcomes  linked to the SRF/MYFF goal and service line)*

**Expected Output(s)/Annual Targets:**

1) Staff development programme
2) Information dissemination and popular mobilisation; and
3) State level and issue based participatory workshops, including one on gender and another with faith-based organisations.

**Implementing partner:**
*(designated institution/formerly executing entity)*

<u>Integrity Institute of Malaysia & MAMPU</u>

| | |
|---|---|
| Programme Period: | 2003 – 2007 |
| Programme Component: | MYFF Service Line 2.7 |
| Project Title: | Capacity Development of the Integrity Institute of Malaysia for the Implementation of the National Integrity Plan |
| Project ID: | ATLAS Proposal ID: 00039050 |
| | ATLAS Project ID:    00043607 |
| Project Duration: | 18 Months |
| Management Arrangement: | National Execution |

| | |
|---|---|
| Democratic Governance Trust Fund | USD100,000 |
| Cost- Sharing | USD100,000 |
| General Management Support Fee | USD6,000 |
| **Total Budget** | **USD206,000** |

| On Behalf Of : | Signature : | Date : | Name / Title |
|---|---|---|---|
| Government | | 17 JUN 2005 | RAJA DATO' ZAHARATON BT RAJA ZAINAL ABIDIN Director General Economic Planning Unit |
| UNDP | | 2 1 JUN 2005 | Richard Leete Resident Representative |

**Government of Malaysia**

# UNITED NATIONS DEVELOPMENT PROGRAMME

**Project Document**

# Capacity Development of the Integrity Institute of Malaysia for the Implementation of the National Integrity Plan

The project aims to strengthen the Integrity Institute of Malaysia's capacity to implement the National Integrity Plan (NIP) through:

A.  NIP implementation action plan for Federal and State levels developed through participatory workshops
B.  Staff development programme in understanding NIP through a special Training of Trainers and Fellowship programme
C.  Information and Knowledge dissemination

Participatory approaches through active stakeholder involvement of the public, private and civil society sectors are envisaged.

**Kuala Lumpur**
**May 2005**

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**Part Ia. Situation Analysis**

## Introduction

Malaysia is a successful developing country and is progressing towards becoming a fully developed nation. In order to achieve that objective, Malaysia has to improve its systems of accountability and good governance. A major challenge is to strengthen ethics and integrity.

Corruption can harm a country in many ways. It is the exploitation of public office for private gain. When it infects the highest levels of government, it can distort policymaking on a grand scale and undermine the credibility of government. Even when played out through officials at lower echelons of government, corruption can be a tax on entrepreneurial activity, divert resources from the public purse, and create a constituency for erecting or maintaining unnecessary red tape.

As mentioned in the World Development Report 2005, corruption manifests itself as a public sector phenomenon. Typically, firms, consumers, or groups make payments to politicians or public officials in return for favourable decisions-- whether high level policy decisions or mundane matters, such as approving utilities connection, clearing goods through customs, or registering a business. So high levels of corruption can be sustainable, and divert energy from more productive activity. No country can claim to be immune from this problem (WDR 2005).

The Government of Malaysia has implemented in 1998 the Prime Minister's Circular No 1 of 1998 which aims to enhance the management integrity of the government administration. This has been done through the setting up of integrity management committees in all ministries, departments, and agencies of the Federal Government, as well as at State Governments. However, there is no mechanism thus far to involve other sectors, such as the private sector, political parties, non-government organisations, religious groups, the media, women, youth and students, which would ensure an integrated and coordinated movement to enhance integrity.

### 2004 National Integrity Plan

Against this background the Government formulated the National Integrity Plan (NIP) in 2004 which will serve as a master plan to guide all sectors. The NIP has been formulated in accordance with Malaysia's values and is owned by all Malaysians. The NIP takes into account views and suggestions presented at a series of national seminars, involving representatives from all sectors of society. Thus the NIP reflects the hopes and aspirations of the leadership and the people.

The formulation of the NIP is predicated upon the spirit and principles of the Federal Constitution, the philosophy and principles of the *Rukun Negara*, as well as the aspirations of Vision 2020. The overall objective of the NIP is to fulfil the fourth challenge of Vision 2020, namely, to establish a fully moral and ethical society whose citizens are strong in religious and spiritual values and imbued with the highest ethical standards.

In order to achieve its objective, the NIP has identified a set of priorities and targets. For the first five years (2004-2008), the NIP has identified five priorities known as Target 2008, which are as follows:

- Effectively reduce corruption, malpractices and abuse of power
- Increase efficiency of the public delivery system and overcome bureaucratic red tape
- Enhance corporate governance and business ethics
- Strengthen the family institution, and
- Improve the quality of life and people's well-being.

In order to achieve Target 2008, the approach and overall strategy of the NIP is to mobilise all sectors of society to support and adopt the aspirations of the NIP.

The effort to enhance integrity will involve participation from the grassroots to the highest level of society. The components and sectors involved are: the family, community, civil society (involving NGOs), religion, socio-culture (education, health, sports and recreation, mass media, art, literature and heritage), economy, politics and administration. In this manner, the integrity movement is comprehensive covering all levels, or sectors, of the government and society. As the approach involves a synergy of institutions from below with those from above, it will generate its own dynamism and vitality.

## Institutions to Prevent Corruption

In order to try to ensure the prevention of corruption, the Government, through Parliament, approved the Prevention of Corruption Act 1961 to replace the Prevention of Corruption Ordinance 1950. In 1967, the Anti-Corruption Agency was set up whose main purpose is to eliminate corruption, and prevent the abuse of power and malpractices. The Government has also set up in July 1971 the Public Complaints Bureau (PCB) as one of the mechanisms through which members of the public could lodge complaints on malpractices and abuse of power in the public service. The Malaysian Administrative, Modernisation and Management Planning Unit (MAMPU) was established in 1977 for the purpose of initiating changes in government administration to ensure the creation of a modern, competent and effective public service. The Auditor General's Department has been in existence up since before independence to audit Public Accounts and to ensure that public expenditure, revenue and assets are properly managed and accounted for according to the law and established procedures.

After taking into consideration the developments taking place in the country and elsewhere, the Prevention of Corruption Act 1961 was revised in 1971 and subsequently repealed and replaced with the Prevention of Corruption Act 1997. Since its formation, the Anti-Corruption Agency (ACA) has played a significant role in combating corruption, and maintaining the integrity of government administration. A major challenge for ACA is to strengthen its work in promoting awareness among members of the public of the dangers of corruption and abuse of power.

In order to strengthen governance of the public sector in 1998, the Government created in 1998 a Special Committee on Government Management Integrity, whose core business is the integrity of government management. The Committee is currently chaired by the Prime Minister.

The Government also established in the same year the Management Integrity Committees at the federal, state and district levels. In this way, the need for integrity is addressed at all levels of the Government machinery from the top to the grassroots.

The objective of the Management Integrity Committee is to ensure that the Government administrative machinery continues to be competent, disciplined and to fully adhere to best practices. At the same time, the Committee also aims to overcome problems and weaknesses, especially in financial management, as well as problems of breach of discipline, corruption and abuse of power.

As a guide to best practices, the Government has identified a set of core values which members of the public sector should internalise and put into practice. These are: honesty, trustworthiness, wisdom, fairness, transparency, and gratitude. These are core values that guide every organisation and every member in the public service. The Government has also identified a set of secondary values, i.e., values developed from value, which is appropriate and relevant to the organisation's operations. It is the responsibility of the Management Integrity Committee at the Federal, State and district levels to ensure the inculcation of these values in the public sector.

There are eight terms of reference which guide the Management Integrity Committee. These are: Legislations, System and Work Procedure, Noble Values and Ethics, Code of Ethics, Recognition, Internal Control, Investigative and Punitive Action, as well as Rehabilitation. The Committee is a mechanism that has a structure with periodic reporting that is meant to strengthen management integrity of the Administrative System of the Government of Malaysia.

### Intensifying Ethics and Integrity in the Private Sector

Corruption is also a problem affecting the integrity of the private sector. The private sector is seen as the giver while public officials the receivers. However, both forms of corruption giving and receiving also take place in the private sector. In view of its seriousness, an international instrument called The Organization for Economic Cooperation Development (OECD) Anti-Bribery Convention was signed by 35 countries in 1999 (Malaysia is one of the signatories) aimed at controlling and preventing multinational companies from giving bribes and promoting integrity among them. This convention makes it illegal for companies to indulge in bribery.

Efforts at curbing corruption in the private sector in Malaysia and elsewhere are still inadequate. So far, many signatories to the Convention have not instituted effective legal action against companies and their officials for giving and receiving bribes. At the same time, other crimes, such as corporate frauds have tarnished the credibility and integrity of the private sector among investors and the public. For this reason, it is essential to enhance the integrity of the corporate sector.

The above problems underscore the need for adopting good management practices in every sphere of the corporate sector. They also reflect the importance of monitoring and enforcement, by competent regulatory authorities, such as the Malaysian Companies Commission and the Securities Commission, together with efforts to promote integrity and sustain economic prosperity.

Whilst the Management Integrity Committee serves as the mechanism to address problems of ethics and integrity in the public sector, there is no such mechanism in the private sector. Nevertheless, the Ministry of Finance took a positive step following the financial crisis in 1997, by setting up a High Level Finance Committee a year later.

As a result of this initiative, a code concerning corporate governance known as the Malaysian Code on Corporate Governance (MCCG) was published in the year 2000. Although the private sector initially did not give much attention to the MCCG, the situation began to change after January 2001 when the Malaysian Securities Exchange Berhad (MSEB) enforced the Revamped Listing Requirements and implemented the Code. While MSEB does not make it mandatory for listed companies on the Bursa Malaysia to comply with the principles and good practices of MCCG, these companies are required to be transparent by making disclosures on various matters as required in the listing requirements.

Every company is required to include in its Annual Report a Statement Concerning Corporate Governance, to indicate how the principles contained in MCCG are being applied and how far the code is being observed. In cases where the code is not observed, the company must make clarifications and provide explanations for alternative practices that they have put in place. In this way, the companies have to enhance their transparency and accountability.

## Enhancing Ethics and Integrity in Other Sectors

A number of professional bodies and NGOs have also drawn up Codes of Ethics to ensure the enhancement of ethics and integrity in their respective organisations. Professional bodies, such as the Malaysian Bar Association, the Malaysian Medical Association, the Malaysian Board of Engineers, the Malaysian Board of Architects, and the Association of Chartered Accountants, have formulated and practiced their own code of ethics. In fact, students pursuing professional courses, such as medicine, engineering and law at institutions of higher learning, are also required to attend ethics courses as part of the requirements to obtain professional qualifications and to practice such professions.

Consumer associations, teachers associations, associations of care providers as well as environmental organisations have also drawn up their codes of ethics. There are also other civil society organisations that monitor adherence to ethical values, such as human rights, good governance and transparency, as well as elections and democracy in Malaysia. There is thus increasing awareness and commitment towards ethics and integrity among various sectors of the Malaysian society.

## Integrity Institute of Malaysia

Efforts at enhancing and implementing ethics and integrity in Malaysia have so far not been carried out in an integrated and coordinated manner. An additional challenge to this is the difficulty for ACA to create awareness among members of the public of the dangers of corruption and abuse of power, as it is busy with its core business. In order to address these challenges, the Government has recently established the Integrity Institute of Malaysia (IIM) as a mechanism to promote and coordinate the implementation of the NIP. The enhancement of integrity based on the NIP, and coordinated by IIM, is a movement that has increasingly captured the imagination of Malaysians. It is designed to be a source of strength for Malaysia to effectively manage its successes and overcome its weaknesses. Notwithstanding the role of IIM mentioned earlier, ACA will continue its role in investigation and prosecution of anti-corruption allegations and cases.

IIM is governed by a Board of Directors consisting of 11 members, which include the Director Generals of ACA and MAMPU. IIM presently has about 37 staff members, out of which 20 are support staff. Most of its professional staff members are new to this work. Their main priority at present is to promote and coordinate the implementation of NIP at all levels in the country. It is however, difficult for IIM to implement it as most of its officers do not have the relevant knowledge and skills, particularly in understanding the NIP and finding the best mechanism to disseminate its key messages to the public.

Therefore there is an urgent need to help build the capacity of the Institute, particularly the capacity to implement the National Integrity Plan (NIP) and support its aspirations to become a leader in this region in the areas of integrity related training, research and policy formulation.

## Conclusion

Following many years of concern about corruption, the creation of the Integrity Institute of Malaysia provides an opportunity to bring together and strengthen efforts to enhance integrity in all aspects of life in Malaysia. The reduction of corruption is not an end in itself: the aim is to enhance the integrity and transparency that will win trust. The outcome will be increased trust in government, in public and private sector organisations and 'NGOs', and in each other. Integrity and trust are valuable outcomes in themselves. They also promote economic growth, help maintain personal safety and national security against crime, and resolve conflicts to build a peaceful and purposeful society. The establishment of the Integrity Institute reflects recognition of the need to focus positively on building integrity and not merely only on the evils of corruption. UNDP can play an important role in guiding the capacity of the Institute to help ensure that the five priorities of the NIP, and Target 2008, are realised.

**Part Ib. Strategy**

The key need identified for IIM, because of its "newness", and the immense task it has set for itself in implementing the National Integrity Plan, is *capacity building*. The project activities will thus aim to strengthen IIM's capacity to implement the National Integrity Plan. The project will commence in May 2005 for 18 months duration.

With a view to promoting awareness among members of the public of the dangers of corruption and abuse of power, this project will carry out a number of strategic activities that will strengthen existing infrastructures, or where absent, will establish them. Training activities will constitute an important component of capacity building.

Three general areas have been targeted for specific focus as intended outputs:

A. NIP implementation action plan for Federal and State levels developed through participatory workshops
B. Staff development in understanding NIP through a special Training of Trainers and Fellowship programme
C. Information and Knowledge dissemination

The strategies proposed in this project will guide the Government in strengthening the capacity of IIM to address the challenge in rolling out NIP to the public. This will be done through:

A. NIP implementation action plan for Federal and State levels developed through participatory workshops

1. *Stakeholder Participation Workshops*: to be organised at state level as an essential part of ensuring the work of IIM gets rooted and championed throughout the country. These will take the form of two day participatory workshops that will look at "burning issues", review the National Integrity Plan (NIP) in the context of the state and develop the NIP implementation plan at state level. There is also a need to organise one stakeholder workshop at Federal level, in particular to develop state level coordination and monitoring plan. The workshop will also discuss the idea of a National Integrity Month campaign programme and the setting up of a state level integrity consultative Task Force. 50-70 participants from the public, private and civil society sectors will take part in each workshop. For this purpose, criteria will be developed to select at least 4 states on the basis of representing ethnic diversity, geographical spread and level of development.

   Output Targets:
   - Criteria for state selection developed
   - State level NIP implementation plans developed
   - State coordination and monitoring plan developed (Federal level workshop)
   - National Integrity Month campaign programme designed
   - National Integrity Month launched
   - State level Integrity Consultative Task Forces established

2. *Focus group workshops*: Two other specific national level workshops are planned to target critical areas of popular mobilisation.

   a. A civil society focused meeting, including women's groups such as the Ministry of Women, Family and Community Development, National Council of Women's Organisation, Women's Institute of Management and others to establish a monitoring mechanism for aspects of NIP implementation, including gender sensitive indicators.

   b. A faith-based national workshop to bring together various groups of different religions to develop a programme of action to support NIP implementation through religious programmes and constituencies. This will involve the Institute of Islamic Understanding (IKIM), The Malaysian Consultative Council on Buddhism, Christianity, Hinduism and Sikhism, the Malaysia Interfaith Network and many other groups.

   The purpose of these workshops are first, to introduce the groups to NIP and consult them on how best to tackle the problems related to corruption from their perspective and second, to use these groups to help implement NIP.

   Output Target:
   - NIP implementation plans, based on focus groups discussions which will be incorporated in partner agencies programme, and include monitoring indicators.

B. <u>Staff development in understanding NIP through a special Training of Trainers and Fellowship programme</u>

   1. The provision of *expertise with best practices*: The project includes a training-of-trainers component, thus allowing for effective multiplication of anti-corruption work at IIM. The training will include critical reviews of existing materials, including those available from UNDP regional centre, e.g. "Ethics Training Module" developed by UNDP Regional PARAGON project; and UNDP Country Assessments in Accountability and Transparency (CONTACT) training modules developed by the Democratic Governance Group of the UNDP Bureau of Development Policy. This will also include consideration of approaches and methods that will stimulate interest and help participants internalise values and develop a commitment to integrity. The training will be conducted by an international expert with the help of two national consultants and the project coordinator and it is envisaged that there will be one week training courses at INTAN (National Institute of Public Administration). The participants will be staff of IIM, ACA, relevant government agencies, private and civil society sectors.

   Output Targets:
   - Training module developed and tested
   - 40 trainers trained
   - State training programme developed by Master Trainers, including participants of focus groups workshops.

2. The provision of *international training fellowships*: A small number (about 4) of fellowships will be awarded to study in institutions abroad to increase the knowledge and skills of senior officers. The returning fellows to provide advice and training to other staff, thus strengthening overall capacity at IIM.

Output Targets:
- 4 internationally-trained senior officers
- Staff training programme developed and implemented by internationally-trained senior officers

## C. Information and Knowledge dissemination

1. *A feasibility study on an information centre at IIM*: a study will be conducted prior to the establishment of a National Integrity Information Centre with rapid response capability. The study will also make recommendations on the best system for data collection, information access and dissemination, i.e. by telephone via a "hotline" and by the internet via a website.

Output Target:
- Feasibility study report completed with possible establishment of a National Integrity Information Centre within and as a central outreach mechanism of IIM. The Information Centre itself will be funded by IIM to ensure sustainability.

2. *The development of "IIM Source Book"*: This source book which will be a knowledge product of this project which will be based on Transparency International's Source Book[1] on Confronting Corruption. The Source Book will provide the necessary knowledge and ideas that can be used by the various stakeholders for "autonomous" and self-sustaining and initiative activities with models and best practices. Specifically, the source book will be targeted at fostering discussion on aspects of national integrity systems.

Output Target:
- IIM Source Book completed, disseminated and launched

3. *The development of advocacy materials for awareness raising*: A national consultant together with the support of the national project coordinator will develop advocacy materials for awareness raising, such as posters, pamphlets etc. to get anti-corruption messages out to the public.

Output Target:
- Advocacy materials developed, printed and disseminated.

## Partnerships

An important element of the strategy will be systematic outreach and building of partnerships on a broad and inclusive basis between the private, public and civil society sectors.

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[1] POPE, Jeremy. "TI Source Book 2000--Confronting Corruption: The Elements of a National Integrity System", published by Transparency International, Berlin, 2000.

Civil society organisations that will play a key role will include Transparency International, Malaysia Chapter, Malaysian Institute of Corporate Governance, National Council of Women's Organisation, Women's Institute of Management and various faith-based organisations.

Public sector agencies will include state governments, the Civil Service Training Institute (INTAN), the Malaysian Administration Modernisation and management Planning Unit (MAMPU), the Anti-Corruption Agency, The Ministry of Women, Family and Community Development, Ministry of Education and the Ministry of Information.

Other agencies such as the Human Rights Commission of Malaysia (SUHAKAM), and the Royal Police Commission will also be consulted.

**Part II. Strategic Results Framework**

| Intended Outcome as stated in the Country Results Framework: Institution/legal/policy frameworks established to promote and enforce accountability, transparency and integrity in public service. |
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**Drivers of development effectiveness:**

| | | Project Duration |
|---|---|---|
| ■ National Capacity Development – Yes<br>■ Policy Influence – Yes<br>■ Forging Strategic Partnerships – Yes | Promotion of National Ownership – Yes<br>Gender Equality  Promotion – Yes | 18 Months |

**Partnership Strategy**
Public, private and civil society sectors to cooperate in highly participatory stakeholder process with expert facilitation.

**Project Title:** Capacity Development of the Integrity Institute of Malaysia for the Implementation of the National Integrity Plan

| Intended Outputs | Output Targets | Indicative Activities | Performance Indicators | Inputs |
|---|---|---|---|---|
| 1. NIP Implementation plan for Federal and State Levels developed through participatory workshops. | 1.1 Criteria for state selection developed | 1.1.1 National project coordinator (NPC) and senior officers of IIM will develop the criteria to select at least 4 states for the stakeholder participation workshop based on diversity and geographical spread and level of development | Criteria for state selection developed within two weeks of recruitment of the National Project Coordinator (NPC) | National Project Coordinator (NPC) and Senior officers of IIM |
| | 1.2 State level NIP implementation plans developed | 1.2.1 Two national consultants with the help of participants of the state level workshops will prepare the state level NIP implementation plan | Implementation plan developed and finalised within two weeks after the state level workshop | Two national consultants (One as expert on process facilitation and the other a governance expert) |
| | 1.3 State coordination and monitoring plan developed | 1.3.1 Two national consultants and the NPC with the help of participants of Federal level | State coordination and monitoring developed two | Two national consultants and the NPC |

| | | weeks after the Federal level workshop | Two national consultants (One as expert on process facilitation and the other a governance expert) |
|---|---|---|---|
| | workshop will develop plan for state level coordination and monitoring | | |
| 1.4 National Integrity Month campaign programme designed | 1.4.1 Two national consultants with the help of participants of the state level workshops will design the National Integrity Month campaign programme | Campaigns carried out as per plan | Two national consultants (One as expert on process facilitation and the other a governance expert) |
| 1.5 National Integrity Month launched | 1.5.1 IIM with the support of the project secretariat will organize a national launch of National Integrity Month campaign | Launch of campaign receives national coverage | – |
| 1.6 State level Integrity Consultative Task Forces established | 1.6.1 Two national consultants with the help of participants of the state level workshops will prepare the plan for State level Integrity Consultative Task Forces | State level Integrity Consultative Task Forces organise their first meeting | Two national consultants (One as expert on process facilitation and the other a governance expert) |
| 1.7 NIP implementation plans, based on focus groups discussions which will be incorporated in partner agencies programme, and include monitoring indicators. | 1.7.1 A national consultant and NPC will organize two other specific national level workshops to target civil society and faith based organizations to establish a monitoring mechanism for aspects of NIP implementation, including gender sensitive indicators | Partner agencies presented follow-up programme which incorporated the NIP implementation plan | Gender expert, National Consultant and NPC |
| 2. Capacities of IIM staff to implement NIP are strengthened | | | |
| 2.1 Training module developed and tested | 2.1.1 An international expert, National Project Coordinator and senior officers of IIM will develop and pilot test the training module | Positive feedback on evaluation of training modules by participants | International Consultant, National Project Coordinator, Senior officers of IIM |
| 2.2 40 trainers trained | 2.2.1 An international expert, two national consultants and the national project coordinator will | 40 trainers trained | International Consultant, two national consultant, national project |

| Output | Activity | Indicator | Responsible |
|---|---|---|---|
| | implement training of trainers programme activities for upgrading knowledge and skills of potential master trainers from among IIM staff members. Due care will be taken to involve other government agencies as appropriate | | National project coordinator, senior officers of IIM |
| 2.3 State training programme developed by Master Trainers, including participants of focus groups workshops | 2.3.1 National Project coordinator, Senior officers of IIM and staff trained under the training of trainers programme will develop State level training programme | Training programme developed for each state | |
| 2.4 Four internationally-trained senior officers | 2.4.1 Four senior officers will be sent on fellowship for a period of two to three weeks to an appropriate institution in a foreign country with well tested and established Integrity System | Fellows bring home key learning points and shared with other IIM staff | — |
| 2.5 Staff training programme developed and implemented by Internationally-trained senior officers | 2.5.1 Senior officers who completed the relevant fellowship together with the national project coordinator will organize special staff training programme to impart experience from overseas attachment | Effective knowledge sharing based on training evaluation by participants | Internationally trained senior officers of IIM and NPC |
| 3. Information and knowledge dissemination and popular mobilisation implemented | | | |
| 3.1. Feasibility study report completed with possible establishment of a National Integrity Information Centre | 3.1.1 A study will be undertaken by a local or international expert to explore the feasibility and scope of a national integrity information centre that is easily accessible by public by various | Feasibility study provided clear recommendations on possibilities of setting up a National Integrity | National or international consultant |

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|---|---|---|---|
| within and as a central outreach mechanism of IIM | means including the internet and or telephone. Specifically, a strategy for raising public awareness about the National Integrity Plan | Information Centre | |
| 3.2. IIM Source Book completed and launched | 3.2.1 An international expert will develop the IIM Source Book that will provide the necessary knowledge and ideas that can be used by the various stakeholders for "autonomous" and self-sustaining and initiative activities with models and best practices | Completed source book by December 2005 | International consultant on source book |
| 3.3. Advocacy materials developed, printed and disseminated | 3.3.1 A national consultant together with the support of the NPC will develop advocacy materials for awareness raising, such as posters, pamphlets etc., to get anti-corruption messages out to the public | Increased awareness towards the NIP as shown by general public through positive feedback during the campaign | National consultant and NPC |

## Art III. Management Arrangements

The Project will be executed by the Malaysian Administration Modernisation and Management Planning Unit (MAMPU) and implemented by the Integrity Institute of Malaysia (IIM) per UNDP policy on national execution. The executing agency will be responsible for accomplishing the project outputs. The executing agency will coordinate the work of the implementing organizations to ensure synergy across the project.

IIM will identify the needed technical backstopping in the form of training and mentoring. UNDP will supplement the implementing agency's capacity with international experts and other links so that they could carry out the activities assigned to them. INTAN (National Institute of Public Administration) will be consulted for the use of its training facilities.

The Project Steering Committee will be chaired by the Director General of MAMPU. Other members of the Steering Committee are representatives of other partners for the project (see attached TOR for project steering committee). The Steering Committee will approve the project work plan and review, on a quarterly basis, the progress of the project.

A national project coordinator (NPC) will be recruited to manage the project (see attached TOR for NPC). (S)He will report directly to the President of IIM which will provide the needed technical and administrative support. The project components will be assigned appropriate partners from the Project Steering Committee. Experts will also be recruited to ensure the smooth implementation of the project.

Using the approved project document and work plan as guide, the Project Steering Committee will assess if the activities were implemented on time and at reasonable costs, and analyse the facilitating and constraining factors in order to improve project performance. It will also look into whether or not the expected outputs and results are likely to be achieved, and implement measures to ensure project success.

At the end of the project, a project summation meeting will be convened to summarize outputs and results, surface lessons and to define future strategies and actions.

The following agencies are accountable for:

### IMPLEMENTING AGENCY

- Managing the resources allocated to the project to achieve the expected results and planning financial disbursements, in accordance with the work plan, and the project document;

- Maintaining an up-to-date accounting system that contains records and controls to ensure the accuracy and reliability of financial information and reporting;

- Recording the receipt and disbursement of UNDP funds and verifying that disbursements do not exceed the available funds or the amount allocated to each approved budgetary category;

- Reports to be submitted to the executing agency and UNDP every quarter.

Further details on requirements and procedures on the management of funds relating to National Execution are attached as an **Annex.**

## UNDP

- The UNDP resident representative ensures that the UNDP country office has an internal control system that allows it to monitor effectively the financial activity of the project and to support and monitor the progress towards achieving results.

- UNDP may assist with direct payments to other parties for goods and services provided to the project. In this connection the government executing/implementing agency will forward to the UNDP a standard form "Request for direct payment", duly completed and signed. The standard form is attached in the **Annex.**

- In addition, UNDP may provide the following services (as per the letter of agreement between Government and UNDP):

  (a) Identification and recruitment of project personnel;
  (b) Identification of training activities and assistance in carrying them out; and
  (c) Procurement of goods and services.

  Since UNDP will meet the costs of normal administrative support to the project, costs will be debited to the project.

- UNDP will submit to the Government executing/implementing agency on a quarterly basis the Combined Delivery Report (CDR) which records all disbursements made under the project, for verification and certification. The CDR should be returned to the UNDP office within 30 days of receipt.

## Part IV. Legal Context

This Project Document shall be the instrument envisaged in the Supplemental Provision to the Project Document, attached hereto. The host country implementing agency shall, for the purpose of the Supplemental Provisions to the Project Document, refer to the Government cooperating agency described in the Supplemental Provisions.

"The following types of revisions may be made to this project document with the signature of the UNDP principal project representative only, provided he or she is assured that the other signatories of the project document have no objection to the proposed changes:

1. Revisions in, or addition of, any of the annexes of the project document [with the exception of the Standard Legal Text for non-SBAA countries which may not be altered and the agreement to which is a pre-condition for UNDP assistance].
2. Revisions which do not involved significant changes in the immediate objectives, outputs or activities of a project, but are caused by the rearrangement of inputs already agreed to or by cost increases due to inflation; and
3. Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert of other costs due to inflation or to take into account agency expenditure flexibility."

### Audit Requirements

As with all nationally executed projects, the project must be audited periodically. The objective of the audit is to provide the UNDP Administrator with the assurances that UNDP resources are being managed in accordance with:
a) The financial regulations, rules, practices and procedures prescribed for the project:
b) The project document and work plans, including activities, management and the project implementation arrangements, monitoring, evaluation, and reporting provisions
c) The requirements for execution in the areas of management, administration and finance.

While the Government is responsible for ensuring that the audit requirements are met, the project may be subject to audit by the auditors of UNDP, and UNDP shall have right of access to the relevant records.

UNDP will assist the Government Auditors, subject to written request, to provide the relevant vouchers on direct payment and other documents related to cash advances, provided always that these specific documents are not available from the implementing agency. The final Combined Delivery Report (CDR) will be signed by both the Implementing Agency and UNDP, and five (5) original copies will be provided by 15 March of each year.

The Government must ensure that the audit is performed in accordance with the generally accepted standards and ensure that the audit report is duly reviewed and will reach UNDP Headquarters via the UNDP Malaysia office by 30 April of each year.

## Terms of Reference
## National Project Coordinator

The <u>National Project Coordinator</u> will manage and coordinate the implementation of project related tasks in ensuring quality and timeliness of activities and outputs. S/he will assist in recruiting and managing a team of consultants to assist the various implementing units in carrying out their respective tasks in the project.

His/her specific tasks are:
### A. Project implementation planning and reporting:
   a. Lead the implementation planning workshop and draft the project work plan and budget
   b. Present the work and financial plan to the Project Steering Committee for approval, and thereafter proceed with implementation
   c. Prepare brief quarterly progress report to be submitted to the President of IIM and the Project Steering Committee
   d. Update work and financial plan at end of each quarter and present at quarterly PSC meetings
   e. Prepare two output-outcome oriented reports of progress on the 6th and 12th month of implementation.
   f. Prepare outcome- and output-oriented end-of project report.

### B. Project implementation and monitoring
   a. Manage the recruitment of consultants and experts and monitor/supervise their work
   b. Draft TOR for experts in consultation with Senior officers of IIM and UNDP
   c. Manage the contracting of activities/outputs to implementing agencies and independent suppliers and ensure quality and timeliness of outputs
   d. Provide advice and technical inputs to various project participants/partners.

### C. Project sustainability and institutionalization of results
   a. Develop a plan for sustaining and institutionalizing results
   b. Assist IIM and other partners in advocating the plan.

### D. Others
   a. Ensure buy-in and ownership of MAMPU, IIM officials and staff and of various government ministries/departments like Anti Corruption Agency (ACA), state government, INTAN, Transparency International Malaysia (TIM), Malaysia Institute of Corporate Governance (MICG), National Council of Women's Organisations, Federation of Malaysia Consumer Organisation (FOMCA), and other stakeholders.
   b. Represent the project in national meetings and dialogues,
   c. Do other related tasks as may be assigned by the President of IIM.

Duration: 18 months
Reports to: The President of the Integrity Institute of Malaysia

Qualifications:

1. Masters degree, or equivalent, in Development Management, Public Administration, Economics or related discipline
2. At least 7 years experience in supervisory capacity in government, academe, NGO or private sector,
3. Knowledgeable in anti-corruption issue, popular mobilization, capacity development and change management
4. Project management experience will be an asset.

**Terms of Reference**
**Project Steering Committee (PSC)**

The <u>Project Steering Committee</u> (PSC) will monitor the conduct of the project and provide guidance and direction to the project team at the strategic level. The National Steering Committee will be established with the following composition and will meet at least twice a year and as and when the need arises.

The Director General of MAMPU or someone assign by the DG will chair the Committee. The secretariat services will be provided by the implementing agency (IIM). The committee members include the UNDP Resident Representative, relevant Government agencies and cooperating organizations/institutions, which have a direct bearing on the successful implementation of the project.

### Duties and Responsibilities

PSC shall be responsible for the following functions:
- Setting policies defining the functions, responsibilities and delegation of powers for the local implementing agency;
- Facilitating the coordination and implementation of project activities across institutions;
- Reviewing the project activities, and their adherence to the work plan set forth in the project document and approve any modifications/revisions as may be necessary;
- Reviewing and approving on each year's proposed work plan and budget;
- Approving major project deliverables;
- Making decisions on the issues brought to its notice by UNDP and other cooperating institutions, and advise regarding efficient and timely execution of the project;
- Reviewing issues raised and agreeing to action plans for their resolutions;
- Appointing sub-committees to carry out specific tasks; and,
- Initiating remedial action to remove impediments in the progress of the project activities that were not envisaged earlier.
- Monitoring the continued applicability of project benefits; and,
- Approving requests for changes (e.g. scope changes, schedule alterations, personnel).
- Review progress report on a quarterly basis

### Membership

The Committee will comprise main stakeholders as follows:
- MAMPU (as the chair);
- Integrity Institute of Malaysia (IIM) (as the secretariat and implementing agency
- Economic Planning Unit (EPU) of the Prime Minister's Department;
- Anti Corruption Agency
- Academic and research institutions
- Non-Governmental Organizations (NGOs); and,
- UNDP

## PROJECT SCHEDULE

| INTENDED OUTPUT | OUTPUT TARGETS | ACTIVITIES | INDICATORS | 2005 | | | | | | | | 2006 | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
| 1. NIP Implementation plan for Federal and State Levels developed through participatory workshops. | 1.1 Criteria for state selection developed | 1.1.1 National project coordinator and officers of IIM will develop the criteria to select 5 states for the stakeholder participation workshop based on ethnic diversity, geographical spread and level of development | Criteria for state selection developed within two weeks of recruitment of the National Project Coordinator (NPC) | ▓ | | | | | | | | | | | | | | | | | |
| | 1.2 State level NIP implementation plans developed | 1.2.1 Two national consultants with the help of participants of the state level workshops will prepare the state level NIP implementation plan | Implementation plan developed and finalised within two weeks after the state level workshop | | ▓ | ▓ | ▓ | ▓ | ▓ | | | | | | | | | | | | |

**PROJECT SCHEDULE**

| INTENDED OUTPUT | OUTPUT TARGETS | ACTIVITIES | INDICATORS | 2005 | | | | | | | | 2006 | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
| | 1.3 State coordination and monitoring plan developed (Federal level workshop) | 1.3.1 Two national consultants and the NPC with the help of participants of Federal level workshop will develop plan for state level coordination and monitoring | State coordination and monitoring developed two weeks after the Federal level workshop | | | | | | | | | | | | | | | | | | |
| | 1.4 National Integrity Month campaign programme designed | 1.4.1 Two national consultants with the help of participants of the state level workshops will design the National Integrity Month campaign programme | Campaigns carried out as per plan | | | | | | | | | | | | | | | | | | |

**PROJECT SCHEDULE**

| INTENDED OUTPUT | OUTPUT TARGETS | ACTIVITIES | INDICATORS | 2005 | | | | | | | | 2006 | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
| | 1.5 National Integrity Month launched | 1.5.1 IIM with the support of the project secretariat will organize a national launch of National Integrity Month campaign | Launch of campaign receives national coverage | | | | | | | | ▓ | | | | | | | | | | |
| | 1.6 State level Integrity Consultative Task Forces established | 1.6.1 Two national consultants with the help of participants of the state level workshops will prepare the plan for State level Integrity Consultative Task Forces | State level Integrity Consultative Task Forces organise their first meeting | | ▓ | ▓ | ▓ | ▓ | ▓ | | | | | | | | | | | | |

## PROJECT SCHEDULE

| INTENDED OUTPUT | OUTPUT TARGETS | ACTIVITIES | INDICATORS | 2005 | | | | | | | | 2006 | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
| | 1.7 NIP implementation plans which will be incorporated in partner agencies programme, and include monitoring indicators | 1.7.1 A national consultant, and national project coordinator will organize two other specific national level workshops to target gender and faith based organizations | Partner agencies presented follow-up programme which incorporated the NIP implementation plan | | | | | | | | | | | | | | | | | | |
| 2. Capacities of IIM staff to implement NIP are strengthened | 2.1 Training module developed and tested | 2.1.1 An international expert, National Project Coordinator and Senior officers of IIM will develop and pilot test the training module. | Positive feedback on evaluation of training modules by participants | | | | | | | | | | | | | | | | | | |

## PROJECT SCHEDULE

| INTENDED OUTPUT | OUTPUT TARGETS | ACTIVITIES | INDICATORS | 2005 | | | | | | | | 2006 | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
| | 2.2 40 trainers trained | 2.2.1 An international expert, two national consultants and the national project coordinator will implement training of trainers programme activities for upgrading knowledge and skills of potential master trainers from among IIM staff members. Due care will be taken to involve other government agencies as appropriate. | 40 trainers trained | | | | | | | | | | | | | | | | | | |

**PROJECT SCHEDULE**

| INTENDED OUTPUT | OUTPUT TARGETS | ACTIVITIES | INDICATORS | 2005 | | | | | | | | 2006 | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
| | 2.3 State level Training programme developed by Master Trainers, including participants of focus groups workshops | 2.3.1 National Project coordinator, Senior officers of IIM and staff trained under the training of trainers programme and participants of focus groups workshops will develop State level training programme. | Training programme developed for each state | | | | | | | | | | | | | | | | | | |
| | 2.4 Four internationally-trained senior officers | 2.4.1 Four senior officers will be sent on fellowship for a period of two to three weeks to an appropriate institution in a foreign country with well tested and established Integrity System. | Fellows bring home key learning points and shared with other IIM staff | | | | | | | | | | | | | | | | | | |

## PROJECT SCHEDULE

| INTENDED OUTPUT | OUTPUT TARGETS | ACTIVITIES | INDICATORS | 2005 | | | | | | | | 2006 | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
| | 2.5 Staff training programme developed and implemented by Internationally-trained senior officers | 2.5.1 Senior officers who completed the relevant fellowship together with the national project coordinator will organize special staff training programme to impart experience from overseas attachment. | Effective knowledge sharing based on training evaluation by participants | | | | | | | | | | | | | | | | | | |

**Annex 3**

## PROJECT SCHEDULE

| INTENDED OUTPUT | OUTPUT TARGETS | ACTIVITIES | INDICATORS | 2005 | | | | | | | | 2006 | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
| 3. Information and knowledge dissemination and popular mobilisation implemented | 3.1 Feasibility study report completed with possible establishment of a National Integrity Information Centre within and as a central outreach mechanism of IIM | 3.1.1 A study will be undertaken by a local or international expert to explore the feasibility and scope of a national integrity information centre that is easily accessible by public by various means including the internet and or telephone. Specifically, a strategy for raising public awareness about the National Integrity Plan. | Feasibility study provided clear recommendations on possibilities of setting up a National Integrity Information Centre | | | | | | | | | | | | | | | | | | |

**PROJECT SCHEDULE**

| INTENDED OUTPUT | OUTPUT TARGETS | ACTIVITIES | INDICATORS | 2005 | | | | | | | | 2006 | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
| | 3.2 IIM Source Book completed, disseminated and launched | 3.2.1 An international expert will develop the IIM Source Book that will provide the necessary knowledge and ideas that can be used by the various stakeholders for "autonomous" and self-sustaining and initiative activities with models and best practices. | Completed source book by December 2005 | | | | | | | | | | | | | | | | | | |

**PROJECT SCHEDULE**

| INTENDED OUTPUT | OUTPUT TARGETS | ACTIVITIES | INDICATORS | 2005 | | | | | | | | 2006 | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct |
| | 3.3 Advocacy materials developed, printed and disseminated | 3.3.1 A national consultant together with the support of the NPC will develop advocacy materials for awareness raising, such as posters, pamphlets etc. to get anti-corruption messages out to the public. | Increased awareness towards the NIP as shown by general public through positive feedback during the campaign | | | | | | | | | | | | | | | | | | |

## Capacity Development of the Integrity Institute of Malaysia for the Implementation of the National Integrity Plan

| ATLAS Codes | Description | Amount Total Budget | | Year 2005 | | 2006 | |
|---|---|---|---|---|---|---|---|
| | | US Dollars | Ringgit | USD | RM | USD | RM |
| 71200 | International Consultants | | | | | | |
| 71205 | International Consultants | $16,000.00 | $60,320.00 | $10,000.00 | $37,700.00 | $6,000.00 | $22,620.00 |
| | SUBTOTAL | $16,000.00 | $60,320.00 | $10,000.00 | $37,700.00 | $6,000.00 | $22,620.00 |
| | | | | | | | |
| 71300 | Local Consultants | | | | | | |
| 71305 | National consultants | $28,000.00 | $105,560.00 | $15,000.00 | $56,550.00 | $13,000.00 | $49,010.00 |
| | SUBTOTAL | $28,000.00 | $105,560.00 | $15,000.00 | $56,550.00 | $13,000.00 | $49,010.00 |
| | | | | | | | |
| 71400 | Personnel - Contractual Services | | | | | | |
| 71405 | Service Contracts - Individuals | | | | | | |
| | (National Project Coordinator) | $48,000.00 | $180,960.00 | $24,000.00 | $90,480.00 | $24,000.00 | $90,480.00 |
| | SUBTOTAL | $48,000.00 | $180,960.00 | $24,000.00 | $90,480.00 | $24,000.00 | $90,480.00 |
| | | | | | | | |
| 71600 | Travel | | | | | | |
| 71605 | Travel Tickets - International | $10,000.00 | $37,700.00 | $6,500.00 | $24,505.00 | $3,500.00 | $13,195.00 |
| 71610 | Travel Tickets - Local | $4,000.00 | $15,080.00 | $2,600.00 | $9,802.00 | $1,400.00 | $5,278.00 |
| 71615 | DSA - International | $6,000.00 | $22,620.00 | $3,900.00 | $14,703.00 | $2,100.00 | $7,917.00 |
| 71620 | DSA - Local | $2,000.00 | $7,540.00 | $1,300.00 | $4,901.00 | $700.00 | $2,639.00 |
| 71635 | Travel - Other | $1,000.00 | $3,770.00 | $650.00 | $2,450.50 | $350.00 | $1,319.50 |
| | SUBTOTAL | $23,000.00 | $86,710.00 | $14,950.00 | $56,361.50 | $8,050.00 | $30,348.50 |
| | | | | | | | |
| 74200 | Audio Visual and Printing Production Cost | | | | | | |
| 74210 | Printing and Publication | $25,000.00 | $94,250.00 | $5,000.00 | $18,850.00 | $20,000.00 | $75,400.00 |
| | SUBTOTAL | $25,000.00 | $94,250.00 | $5,000.00 | $18,850.00 | $20,000.00 | $75,400.00 |
| | | | | | | | |
| 74500 | Miscellaneous Costs | | | | | | |
| 74525 | Sundry (For Training Centres/Fellowships/Study Visits) | $30,000.00 | $113,100.00 | $15,000.00 | $56,550.00 | $15,000.00 | $56,550.00 |
| 74525 | Sundry (For Workshops) | $30,000.00 | $113,100.00 | $20,000.00 | $75,400.00 | $10,000.00 | $37,700.00 |
| | SUBTOTAL | $60,000.00 | $226,200.00 | $35,000.00 | $131,950.00 | $25,000.00 | $94,250.00 |
| | | | | | | | |
| 75100 | GMS | | | | | | |
| 75110 | Country Office Support Cost | $6,000.00 | $22,620.00 | $3,000.00 | $11,310.00 | $3,000.00 | $11,310.00 |
| | SUBTOTAL | $6,000.00 | $22,620.00 | $3,000.00 | $11,310.00 | $3,000.00 | $11,310.00 |
| | | | | | | | |
| | TOTAL | $206,000.00 | $776,620.00 | $106,950.00 | $403,201.50 | $99,050.00 | $373,418.50 |

UN Exchange Rate @ USD1.00 to RM3.77

# ANNUAL PROGRAMME/PROJECT REPORT (APR)

**Basic programme/project information** (To be provided by programme or project management)

Programme or project number and title: _____

Designated institution: _____

Project starting date:
        Originally planned: _____
        Actual: _____

Project completion date:
        Originally planned: _____
        New: _____

Total budget ($):
        Original: _____
        Latest signed revision: _____

Period covered by the report: _____

## PART I: NUMERICAL RATING

Rate the relevance and performance of the programme or project using the following scale:

    1 - Highly satisfactory                   4 - Unsatisfactory
    2 - Satisfactory                           X - Not applicable
    3 - Unsatisfactory, with some positive elements

Place your answers in the column that corresponds to your role in the programme or project.

| SUBSTANTIVE FOCUS | Target group(s) | Programme or project manager | Government | UNDP |
|---|---|---|---|---|
| **A. RELEVANCE** | | | | |
| 1. How relevant is the programme or project to the development priorities of the country? | | | | |
| 2. How relevant is the programme or project to the promotion of sustainable human development? Indicate your rating on the focus area which the programme or project was designed to address.<br><br>(a) Poverty eradication and sustainable livelihoods<br><br>(b) Protection and regeneration of the environment<br><br>(c) Gender in development<br><br>(d) Promoting an enabling environment for SHD, including governance | | | | |
| 3. To what extent are appropriate beneficiary groups being targeted by the programme or project, based on the following considerations?<br><br>(a) Gender<br><br>(b) Socio-economic factors<br><br>(c) Geographic location | | | | |
| 4. Given the objectives of the programme or project, are the appropriate institutions being assisted? | | | | |

| B. PERFORMANCE | | | | |
|---|---|---|---|---|
| 1. Using the following indicators rate the contribution of the outputs to the achievement of the immediate objectives:[a]<br><br>(Indicator 1)<br><br>(Indicator 2)<br><br>(Indicator 3) | | | | |
| 2. Rate the production of target outputs. | | | | |
| 3. Are the management arrangements of the programme or project appropriate? | | | | |
| 4. Are programme or project resources (financial, physical and manpower) adequate in terms of:<br><br>(a) quantity?<br><br>(b) quality? | | | | |
| 5. Are programme or project resources being used efficiently to produce planned results? | | | | |
| 6. Is the programme or project cost-effective compared to similar interventions? | | | | |

[a] The programme or project manager must list the indicators as reflected in the programme support document or project document or as agreed on by the stakeholders.

| 7. Based on its work plan, how would you rate the timeliness of the programme or project in terms of:<br><br>(a) Production of outputs and initial results?<br><br>(b) Inputs delivery? | | | | |
|---|---|---|---|---|

|  | Target group(s) | Programme or project manager | Government | UNDP |
|---|---|---|---|---|
| **OVERALL RATING OF THE PROGRAMME OR PROJECT** | | | | |

Explain the basis of your rating, which need not be limited to, or which may be different from, the relevance and performance criteria rated above. For the last year of the programme or project, the overall rating should include an assessment of the potential success of the programme or project as well as its relevance and performance.

## PART II:  TEXTUAL ASSESSMENT

1. What are the major achievements of the programme or project vis-à-vis the expected results during the year under review? To the extent possible, include an assessment of the potential impact, sustainability and contribution to capacity development.

2. What major issues and problems are affecting the achievement of programme or project results?

3. How should these issues or problems be resolved?  Please explain in detail the action(s) recommended.  Specify who should be responsible for such actions.  Also indicate a tentative time-frame and the resources required.

4. What new developments (if any) are likely to affect the achievement of programme or project results? What do you recommend to respond to these developments?

5. What are the views of the target groups with regard to the programme or project? Please note any significant gender-based differences in those views.

6. To date, what lessons (both positive and negative) can be drawn from the experience of the programme or project?

7. If the programme or project has been evaluated, what is the implementation status of the recommendations made by the evaluators?

8. Do you propose any substantive revision to the programme or project document? If yes, what are they? State justification.

9. Provide any other information that may further support or clarify your assessment of the programme or project. You may include annexes as you deem necessary.

| | |
|---|---|
| **For target groups:**<br>Name:<br>Title:<br>Signature: | Date: |
| **For the programme or project management:**<br>Name:<br>Title:<br>Signature: | Date: |
| **For the government:**<br>Name:<br>Title:<br>Signature: | Date: |
| **For UNDP:**<br>Name:<br>Title:<br>Signature: | Date: |

## PART III: Programme or project summary table

| Programme/project title and number: | | Management arrangement: |
|---|---|---|
| Designated institution: | | Period covered: |

### OVERALL ASSESSMENT

Brief analysis of progress achieved in the contribution of the programme or project to the expected results.

### FINANCIAL SUMMARY

| Source of funds | Annual budget ($ '000) | Estimated annual expenditure ($ '000) | Delivery rate (%) |
|---|---|---|---|
| TRAC (1 and 2) TRAC 3 Other | | | |
| Cost-sharing: Government Financial institution Thirdparty | | | |
| Trust funds AOS (where applicable) | | | |

SUMMARY OF RESULTS

| Programme support objectives (PSOS) or immediate objectives | Indicators | Achievements |
|---|---|---|
| Obj. 1 | | |
| Obj. 2 | | |
| Obj. 3 | | |
| ... | | |

| Annual output targets | Achievement of outputs | Proposed output targets for the next year |
|---|---|---|
| Obj. 1<br><br>Output 01<br>Output 02<br>Output 03<br>... | | |
| Obj. 2<br><br>Output 01<br>Output 02<br>Output 03<br>... | | |