United Nations Development Programme

Regional Bureau for Latin America and the Caribbean

Regional Project on Local Governance in Latin America
PRODOC-Substantive Revision

Key result area (SP) / Focus area (RPD): Democratic Governance

Outcomes and programme outputs (RPD):
Outcome 2.1. Fostering inclusive participation.
Output 2 1 4 Successful initiatives on local governance;
Output 2 1 8 Analytic and quantitative tools for DG assessments at national and sub-national levels

Outcome 2.2. Strengthening responsive institutions.
Output 2 2 Improved management systems

Executing Agency: *DIM*   *← Not DEX*   UNDP (RBLAC-DG Cluster)

✓ Implementing Entity: UNDP- RBLAC Regional Service Center, Panama

Short Description
There are no substantive or new activities being added to the PRODOC The extension will allow the External Evaluation as of February, as agreed with the Generalitat Valenciana in meeting September 2010, as well the finalization of key systematization activities

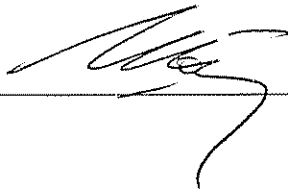| Programme Period: 2008-2011	Total resources required : **$ 1,063,815.7**
Project Title: Regional Project on Local Governance for Latin America	**Total allocated resources:** _$ 891,685.7_
Atlas Award ID: 49799	• Regular (regional TRAC) _$ 60,000_
Start date: October 2008	• ‹ GENERALITAT DE VALENCIA $ 831,685.71
End De June 2011	
PAC Meeting Date May 2008	**Unfunded budget:** $54,130
Substantive revision PAC September 2009	
PAC with GV September 2010	
	In-kind Contributions
	Total contribution UNDP LAC SURF $ 21,500 00
	Total contribution UN AGENCIES $ 10,000 00
	Total contribution LOCAL GOVT'S $ 86,500 00
	TOTAL **$118,000.00**

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Agreed by (UNDP, Executing Agency):
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I.   SITUATION ANALYSIS

The Regional Project on Local Governance for Latin America (RBLAC/BDP) started in 2002 with the objective of strengthening local governance to promote human development in the region. Within the overall mandate of UNDP, the Regional Project on Local Governance aims at capturing, systematizing, promoting and facilitating the exchange of useful knowledge in local governance among Latin American municipalities. In this way the Project acts as a broker between supply of and demand for knowledge in the area of local governance for human development.

During its implementation (2002-2007) the project found that local governments face multiple challenges, different from those at the national level, and have heterogeneous capacities to deal with them. The Project also identified that in a context of growing decentralization and a trend of increased citizen participation through organizations and social movements, **innovative local governance initiatives** have enabled achievements in different local development dimensions through diverse strategies. From the systematization and analysis of these initiatives on local governance in the region, the project identified five **key governance conditions** (see box 1) that constitute the conceptual foundations where its strategy lies on. Furthermore, the project developed a set of methodologies and tools within a **knowledge management approach** that has allowed for the systematization, transfer and diffusion of these experiences in the region, adding value to UNDP technical assistance and encouraging south-south cooperation.

Box 1. Agenda on Local Governance for LAC:

Five key conditions for advancing human development at the local level

1. **Strategic vision:** shared and long-term vision of local development.
2. **Legitimacy and transformational leadership:** recognition of individual or group leaderships with capacity to convoke actors and generate commitments towards local development processes.
3. **Constructive relations among actors:** Identification of actors, definition of roles and opening of dialogue and consensus-building spaces.
4. **Institutional performance:** Transparency, effectiveness, responsiveness, accountability, sustainability and innovation in public management
5. **Public participation:** Citizens' participation mechanisms, organization and civil

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The knowledge management methodological platform designed by the Regional Project on Local Governance was built under the assumption that local actors can learn from peers who have experienced similar challenges and have managed to overcome them. The knowledge management methodological platform can be described as the process of gathering and codifying experiences and using them as inputs for the development of conceptual frameworks and knowledge tools. The latter can be classified as diagnostic tools (which prioritize areas of intervention), action tools (tools to assist on the formulation of strategies to strengthen local governance conditions) and horizontal cooperation mechanisms (such as knowledge fairs) and training mechanisms (such as short courses with local stakeholders on specific local governance subjects). This methodological platform is supported by a network of associate experts and advocacy material and strategies (further explanation on Annex 2).

For the programming period 2008-2011, this project intends to capitalize on the accumulated experience by transferring to a selected group of country offices and national counterparts the lessons learned and the knowledge products developed to date. The application and use of these tools by the country offices with the technical backup of the Regional Project will contribute to the expected outcomes and outputs of UNDP Strategic Plan and LAC Regional Programme. In particular, the project aims at fostering inclusive participation and strengthening responsive institutions at the local level (i e sub-national which can be municipal or intermediate levels such as provinces, departments and/or

states) through the dissemination of good practices and innovations, development of knowledge products and tools, provision of capacity development and advisory services to local stakeholders through specific demonstrative interventions. It is thus part of UNDP strategy on democratic governance and contributes to specific outputs of SP and RPD Outcomes of fostering inclusive participation and strengthening responsive institutions

The present document describes the second part of a phase-out strategy for the Regional Project on Local Governance. The first part ran from October 2008 to August 2009 as was stated in a DEX authorization signed by the Associate Administrator (Annex 3). The main purpose of this second phase is to implement remaining activities of PROLOGO, transfer of the methodologies, tools and capacities developed by the Regional Project in the area of local governance and the promotion and consolidation of the PROLOGO network

II.   STRATEGY

This project is aimed at transferring the capacities accumulated during the implementation of the Regional Project on Local Governance. The process of transfer capacities is built upon three main strategic guidelines:

- Systematizing the experience and expertise acquired by the Regional Project on Local Governance for Regional Use. The systematization of the project's approach, tools and methodologies has several targeted users Main beneficiaries are the functional units within the Regional Centre that will be responsible for the areas of local governance and citizen's security under the new regionalization model. This also entails that LAC country offices and national counterparts directly involved in the implementation of this project, will be able to incorporate these tools and methodologies as inputs for their activities on local governance. Finally, enhanced tools will be accessible to local governance practitioners around the region.

- Building capacities of LAC country offices, sub-national governments and civil society using an action-oriented approach to local governance. Capacity building is a prominent feature of the project's strategy, targeting LAC country offices, civil society, and local authorities The project plays a role in **brokering partnerships** among LAC country offices, national and/or local authorities, and civil society, backing social mobilization and community empowerment The project **influences local policies** by developing and using local governance tools that respond to demands identified by local counterparts, building upon locally available capacities, and adapting tools and methodologies to the local political conditions and needs.

- Consolidating the Knowledge Management Technological Platform as a mechanism to promote and facilitate the access and exchange of knowledge on local governance The KM technological platform (www.logosundp.org) provides access to LAC country offices, the Regional Centre, UN partner agencies, associate experts and stakeholders to the tools and methodologies developed by the project to support the design, implementation and monitoring of local governance initiatives The KM technological platform also enables LAC country offices and their counterparts to access knowledge assets on a broader realm of development issues

While the first phase emphasized three main areas of work (empowering civil society, documenting and systematizing the experiences, and strengthening local actors' capacities for managing citizens' culture and urban security), this second phase will emphasize two main areas of work; empowering civil society, and documenting and systematizing experiences and practices

1. Empowering civil society through the implementation of innovative methodologies and mechanisms for public participation and social control, by using local governance knowledge tools to improve local governance conditions for achieving the MDGs in selected municipalities.

Achievements to date (November 2009)

- The LAC Regional Centre has established partnerships with UNDP country offices in Colombia, Dominican Republic and El Salvador, and selected local stakeholders (authorities and CSOs) to create the PROLOGO network (PROLOGO stands for the acronym in Spanish of Propuestas Locales de Gobernabilidad). The PROLOGO Network articulates three components:

Table 2. PROLOGO Network components

Creation and set up of three PROLOGO local centers (Propuestas Locales de Gobernabilidad)	The main responsibilities of each centre are: (i) analyze and follow up to local governance conditions for MDG attainment; (ii) publicize information and promote dialogue, (iii) identify strategic areas and provide a place of encounter between local authorities and actors for the definition of actions, (iv) offer local actors a training center on leadership and governance issues (v) provide the Regional Centre with feedback about the tools and methodologies
Creation and setup of a Regional Node to consolidate the PROLOGO Network	The Regional Node will: (i) provide Local Centers with knowledge tools and methodologies on local governance, (ii) consolidate, compare and systematize the information provided by the local centers, (iii) promote and facilitate cooperation between local centers, (iv) plan catalytic events for the promotion, multiplication and exchange of experiences
Design and setup of a virtual training system on Local Democracy	The training system will: i) provide conceptual tools and promote the development of local actors' practical skills , ii) provide a space for citizens' encounter using the learning platform of UNDP's Regional Project Escuela Virtual (www escuelapnud org)

- The municipalities selected for the installation of PROLOGO Local Centres are Cartagena in Colombia, Santa Tecla in El Salvador, and El Cercado in Dominican Republic. These municipalities are characterized by their previous involvement in UNDP initiatives to strengthen democratic governance

- The PROLOGO Centre in Cartagena is oriented to foster public policies for the economic integration and political participation of Afro-Colombian (Colombians of African descent) communities A diagnostic of Afro-Colombian grassroots groups and community councils, their scope and areas of work, was instrumental in the prioritization of local partners for the PROLOGO centre The diagnostic also highlights the importance of strengthening the capacities of political incidence of community councils, especially to enforce their collective land rights

- The PROLOGO Centre in Santa Tecla has a thematic emphasis in the facilitation and promotion of Women's and Youth public participation The local government has demonstrated a strong commitment with the active involvement of local population in decision-making processes to provide a more responsive and equitable development as stated in the "Participatory Strategic Plan 2002-2012" The municipality has become a national reference for the policies and actions implemented in the area of citizen's security and civic culture In this context, the PROLOGO centre seeks to align the efforts of the Citizen Council for Local Development and the Inter-institutional Council for the Prevention of Violence and promote participatory initiatives more responsive to women and youth concerns

- The municipality of El Cercado has been selected as location for the PROLOGO Centre in Dominican Republic as part of the country office efforts to strengthen sound democratic practices at the local level El Cercado was appointed this year as "democratic municipality" by a compact among Dominican political parties The parties have committed to run a transparent and accountable electoral process In parallel to this initiative, the PROLOGO centre aims to

expand democratic participation among under-represented sectors of society through awareness-raising activities One of the activities under execution is a diagnosis of local governance conditions that will be part of the Subnational Human Development Report for the San Juan de la Maguana Province

- Detailed annual work plans have been elaborated for each local centre and a constant flow of information is established among the local centres and the regional node to follow up the implementation

- The regional node was established to articulate the local centers, create synergies among them and with other relevant development actors and initiatives, further develop common knowledge tools on local governance, and monitor the activities carried out by local centers The regional node is coordinated with inputs from the Local Governance and Decentralization Policy Advisor located at the Regional Centre in Panama in close consultation with the Knowledge Management Unit based in Bogota

- The regional node will capitalized on the existing tools developed by the Regional Project on Local Governance and on other tools that have value and applicability to the threee country realities. (See Annex 4 for a selected sample of tools)

- The regional node has also developed a technological platform to move forward the construction of common knowledge (http://logosundp.org). Based on a web 2 0 approach, the platform aims to support information sharing and collaboration among local governance practitioners The technological platform has channeled the essence of selected Web 2.0 applications into a development environment. These applications have proved to be a powerful and effective way of building multiple relationships based on social interaction and knowledge networking. In result, the platform is rapidly evolving into a lively community composed of development practitioners empowered by information, adding value to their day-to-day operations.

- The platform is designed to provide a project-wide system for information and knowledge sharing It allows for simple, systematic and organized maintenance and administration of the information it contains on local governance Any project counterpart with basic computer skills can manage content, develop a document repository, and create groups to replicate the project's dynamic on each participating country

- The activities of the local centers and the regional node are complemented by a training system on local governance for Human Development This component is in charge of UNDP's Regional Project *Escuela Virtual de Desarrollo Humano* This partnership capitalizes on the experience of both teams in a synergy that has shown to be very productive The training system will provide the beneficiaries with conceptual and practical tools on Local Democracy under the perspective of Citizens' Democracy[1] The learning platform (www.escuelapnud.org) will also provide a space for dialogue and sharing of experiences among local centres.

- Also during this stage, other key activities have taken place in each of the three participating countries For example:

    o Preparations to select and begin conditioning the actual Local Centres, including assessing physical and technological infrastructure;

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[1]The proposed structure for the Virtual Course on local Democracy can be consulted in Annex V The details of the course are currently being developed by the Regional Centre and the *Escuela Virtual de Desarrollo Humano*

- Assessing the context of implementation and expectations of beneficiaries and stakeholders, including ways and means to organize them and how to ensure participation of women and youth;
- Engaging governmental counterparts to promote partnerships and collaboration; and
- Identifying participants and beneficiaries for the virtual training course.

Activities to be implemented during 2010

- The main activities for 2010 are related to ensuring the functioning of the local centres in each of the three countries; for the three centres to be fully operational as strategic places to promote policy dialogue and partnerships and resolve problems; and to begin to share the experiences and lessons and strenghten and expand the network   In that context, the following activities will be prioritized in each of the three local centres:

  - Finalize assessments and analysis of local governance conditions
  - Identify in partnership with government counterparts and prioritize local governance shortcomings that need to be addressed
  - Design and implement solutions
  - Design and implement a sustainability strategy for the local centres

- The Regional Node will prioritize the following activities for 2010:

  - Provide any Techcnical Assistance as needed to the three Country Offices
  - Systematize information, practices and experience from each of the Local Centres.
  - Promote and facilitate cooperation between the three local centres
  - Expose and provide assessment tools and methodologies to the local centres and provide any technical assisance as necessary
  - Foster and facilitate cooperation between local centers and with similar initiatives in the region

  Organize one or two catalytic events, both virtual and non-virtual, after mid-2010 to share the network's achievements and experiences.   These events will provide an opportunity to explore south-south cooperation among the local centres, as well as to share sustainability strategies Similarly, these events will provide an opportunity to gather stakeholders and beneficiaries of the project with Valencian authorities, academia, research institutions and other partners. These events, will also offer an opportunity to present the tools and methodologies developed and used, the pedagogic materials developed by the Escuela Virtual, and the results obtained by the PROLOGO Network

  - Provide any technical assistance in support of a sustainable strategy for the Local Centres and the Regional Centre.

  - Provide logistical support for the tripartite evaluation and the external evaluation

2. **Document and systematize the experience and practices expertise acquired in the field of citizens' security and civic culture to be used as an asset for the provision of advisory services (including capacity-building and technical assistance).**

Achievements to date

- The systematization of the citizen's security and civic culture experience has been synthesized as a toolkit composed of eight sections: conceptual framework, good practices, citizen's security diagnostic tool, institutional diagnostic tool, four citizen's security action tools, a strengthening

of institutional capacities tool, an advocacy tool and the associate experts' tool For the elaboration of this toolkit all the documents and tools were revised, a new associate expert's tool was developed and three new guides were elaborated: a citizen's security diagnostic handbook, an institutional capacities diagnostic handbook and a citizen's security certificate handbook

Activities to be implemented during 2010

- The main activities for 2010, will focus on systematizing the experience and practices of the three PROLOGO Centers (in El Cercado, Cartagena and Santa Tecla) In coordination with the Knowledge Management Practice Area, topics and practices will be identified and knowledge products developed for wider dissemination

III. RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as stated in the Regional Programme Document: Outcome 1. Fostering inclusive participation.

Outcome indicators as stated in the Regional Programme Document: number of target countries that have implemented policies to increase political participation

Baseline: limited involvement of vulnerable and excluded groups in formulation and implementation of development strategies and public agendas.

Focus area (SP and LAC RPD): democratic governance. Outcomes and programme outputs (RPD):; and Output 4. Successful initiatives on local governance

Partnership Strategy: The Regional Project will work together with UNDP Country Offices in Latin America, establish partnerships with local governments and donors (in particular the Generalitat of Valencia) to establish synergies with other LAC regional projects (Poverty and MDG cluster, Democratic Governance cluster and Gender cluster) and carry out activities through alliances with relevant local actors (civil society organizations, academia, private sector and media) to build capacities and apply local governance tools for advancing MDG strategies and for citizen's security and civic culture management at the local level.

Project title and ID (ATLAS Award ID Proposal 49779): Regional Project on Local Governance for Latin America

INTENDED OUTPUTS	OUTPUT TARGETS FOR 2008 - 2010	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
Output 1 Civil society empowered through the implementation of innovative methodologies and mechanisms for public participation and social control, strengthening local governance conditions for MDG attainment. Baseline: Latin American civil society lacks the capacity to actively participate in the achievement of MDGs at the local level Indicator: ■ Number of municipalities where Local Centers have	Target 1 2010 Target 1 2010 Three PROLOGO local centers installed and functioning.	Activity Result: Three PROLOGO local centers installed and functioning. Activities ■ Three municipalities selected for the establishment of new local centers. ■ Three local centers established in three countries. ■ Local events held at each centre for the discussion of municipal diagnoses ■ Action plans and sustainability strategies promoted at each centre. ■ Local centre experiences documented.	UNDP COs/local governments and CSOs. Support from regional node	Local consultants Technical assistance and Travel Contractual Services Equipment and Furniture Information Tech. equipment Audiovisual and printing material

been negotiated / established ■ Number of civil society organizations, academia, private sector and media participating on the creation and / or implementation of the Local Centers ■ Number of citizens' initiatives jumpstarted by the local encounters.				Local consultants Equipment and Furniture Communications and audiovisual equipment Information Tech. equipment
Output 1 Civil society empowered through the implementation of innovative methodologies and mechanisms for public participation and social control, strengthening local governance conditions for MDG attainment. Baseline: Latin American civil society lacks the capacity to actively participate in the achievement of MDGs at the local level Indicator: ■ Number of Tools and methodologies compiled and adapted for the Local Centers ■ Website created and updated with information from all local centers.	Target 2 2010 One regional centre established and functioning	Activity Result: One regional centre installed and functioning Activities: ■ Methodologies developed and adapted together with partners and local actors to carry out governance analyses in local centers. ■ Event to celebrate the achievements of the network for knowledge transfer on democratic governance. ■ Setting up a platform for the promotion and transfer of methodologies, good practices and tools for action. ■ Presentation of the RED PROLOGO experiences to the Generalitat Valenciana.	UNDP COs / local governments and CSOs, and local centres. Support from regional node	

■ Number of events (virtual and real) organized by the regional centre for the promotion and exchange of experiences			

Intended Outcome as stated in the Regional Programme Document: Outcome 2. Strengthening responsive institutions
Outcome indicators as stated in the Regional Programme Document: **number of target countries that have implemented policies to increase political participation**
Baseline: **limited involvement of vulnerable and excluded groups in formulation and implementation of development strategies and public agendas.**
Focus area (SP and LAC RPD): democratic governance. **Outcomes and programme outputs (RPD):**; and Output Output 4. Successful initiatives on local governance
Partnership Strategy: The Regional Project will work together with UNDP Country Offices in Latin America, establish partnerships with local governments and donors (in particular the Generalitat of Valencia) establish synergies with other LAC regional projects (Poverty and MDG cluster, Democratic Governance cluster and Gender cluster) and carry out activities through alliances with relevant local actors (civil society organizations, academia, private sector and media) to build capacities and apply local governance tools for advancing MDG strategies and for citizen's security and civic culture management at the local level.
Project title and ID (ATLAS Award ID Proposal 49779): Regional Project on Local Governance for Latin America

INTENDED OUTPUTS	OUTPUT TARGETS FOR 2008 - 2010	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
Output 2 Capacities of local actors strengthened for improved citizens' culture and urban security management systems Baseline: many initiatives on Citizen's security have been implemented in the region but their recollection, systematization and the capacity-building of local actors are still lacking Indicator: ▪ Number of regional experts (individual and institutions) contacted and participating in the development of knowledge tools ▪ Number of participants to the training program	Target 3 2008-2009 Advisory services and technical support to COs and local actors provided in one country and one international training program carried out	Activity Result: Methodological and technical support to COs and local actors provided in at least three countries ▪ Conduct an assessment and provide advisory and technical backstopping services to a local government in joint work with COs ▪ Forge alliances for the organization and academic coordination of the training program ▪ Compile and print training material. ▪ Promote the training programs and register participants. ▪ Make logistic arrangements prior and during the training program	UNDP / Local Governments and UN Agencies (UNLIREC, UNFPA, UNICEF, UNIFEM)	Travel Local consultants Subcontracts (surveys) Sundry

Output 3	Target 4 2008-2009	Activity Result: At least two international training programs carried out in at least three countries.	UNDP / Local Governments	Travel Local consultants Audiovisual and printing Sundry
Output 4: Transition from the provision of technical services on citizens' security and civic culture to knowledge management for citizens' security advisory services, achieved (thematic phasing-out strategy). Baseline: many tools (from diagnostics to action) have been developed by the regional project. They need to be updated and systematized in order to be handed over to another agency. Indicator: ■ Number of agreements developed with UN agencies for knowledge management for citizen's security and civic culture. ■ Number of tools published and validated in the DG LAC cluster online application	Tools up-dated & optimized and at least one agreement with a UN agency on knowledge management for citizens' security and civic culture developed.	■ Update assessment and optimize action tools, deriving key aspects to support KM advisory services provision. ■ Derive lessons learned and elaborate a how-to-guide on certificate courses' conduction ■ Pilot the knowledge platform with assets from citizens' security and civic culture ■ Document the experience of advising local governments and CO's on citizens' security and civic culture at the local level.		

IV. ANNUAL WORK PLAN BUDGET SHEET

EXPECTED OUTPUTS AND TARGETS And baseline, indicators including annual targets	PLANNED ACTIVITIES List activity results and associated actions	TIMEFRAME (2008-2010) 2008 Q4	2009 Q1	2009 Q2	2009 Q3	2009 Q4	2010 Q1	2010 Q2	2010 Q3	2010 Q4	RESPONSIBLE PARTY	PLANNED BUDGET Funding Source	Budget Description	2008 (USD)	2009 (USD)	2010 (USD)
Output 1: Civil society empowered through the implementation of innovative methodologies and mechanisms for public participation and social control, strengthening local governance conditions for MDG attainment.	One local center established in Colombia.										UNDP COs/ Local governments and CSOs	Generalitat Valenciana	Local consultants	0.00	47,318.61	0.00
												Generalitat Valenciana	Equipment and Furniture	0.00	52,050.47	0.00
												Generalitat Valenciana	Contractual services	0.00	36,277.60	0.00
												Generalitat Valenciana	Travel	0.00	9,463.72	0.00
					X							Generalitat Valenciana	Information Tech. equip.	0.00	6,309.15	0.00
					X							Generalitat Valenciana	Audiovisual and printing	0.00	4,731.86	0.00
						X						Generalitat Valenciana	Travel	0.00	15,772.87	0.00
	Two municipalities selected for the establishment of new local centers in Dominican Republic and El Salvador.			X								UNDP -TRAC	Travel		6,000.00	0.00
Target 1: Three PROLOGO local centers installed and functioning.	Two local centers established (Dominican Republic and El Salvador)											Generalitat Valenciana	Local consultants	0.00	94,637.22	0.00
												Generalitat Valenciana	Equipment and Furniture	0.00	104,100.95	0.00
					X							Generalitat Valenciana	Contractual services	0.00	72,555.21	0.00
					X							Generalitat Valenciana	Travel	0.00	18,927.44	0.00

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Activity	Timeline	Funding source	Budget line			
		Generalitat Valenciana	Information Tech. equip.	0.00	12,618.30	0.00
		Generalitat Valenciana	Audiovisual and printing	0.00	9,463.72	0.00
Local events held at each municipality for the official launch of the PROLOGO network and discussion on strategies to install the local centers.	X X X X X	Generalitat Valenciana	Hospitality	0.00	9,463.72	0.00
		UNDP-TRAC	Hospitality		7,000.00	0.00
			Hospitality		7,110.00	
		Unfunded				0.00
Local plans promoted at each centre	X X X X X	Generalitat Valenciana	Local consultants	0.00	7,886.44	0.00
		UNDP-TRAC	Local consultants		3,000.00	0.00
			Local consultants		30,020.00	0.00
		Unfunded				0.00
Local centre experiences documented	X X X X X	Generalitat Valenciana	Information Tech. equip.		4,731.86	4,731.86
Subtotal Target 1.		UNDP		**0.00**	**559,439.15**	**4,731.86**
Output 1: Civil society empowered through the implementation of innovative methodologies and mechanisms for public participation and social control, strengthening	X X X	Generalitat Valenciana	Local consultants	0.00	47,318.61	0.00
Methodologies developed and adapted together with partners and local actors to carry out governance analyses in local centers.		UNDP-TRAC	Local consultants	7,000.00		0.00
		Unfunded	Local consultants	0.00	17,000.00	0.00
		Generalitat Valenciana	Equipment and Furniture	0.00	11,671.92	0.00
		Generalitat Valenciana	Comm. and audiovisual equipment	0.00	23,659.31	0.00
		Generalitat Valenciana	Sundry	0.00	16,735.92	4,731.86

Activity / Output		Source	Budget line			
local governance conditions for MDG attainment.	X	Generalitat Valenciana	Local consultants	0.00	47,318.61	0.00
	X X X X	UNDP-TRAC	Local consultants	7,000.00	0.00	0.00
Setting up a platform for the promotion and transfer of methodologies, good practices and tools for action. Target 2: One regional centre	X X X X X X	Generalitat Valenciana	Information Tech. equip.		16,098.76	10,779.23
established and functioning in at least three countries		Generalitat Valenciana	Hospitality	0.00	0.00	13,752.37
Event to celebrate the achievements of the network for knowledge transfer on democratic governance.	X	Generalitat Valenciana	Audiovisual and printing	0.00	0.00	4,731.86
		Generalitat Valenciana	Travel	0.00	0.00	31,545.74
Presentation of the RED PROLOGO experiences to the Generalitat Valenciana.		Generalitat Valenciana	Hospitality	0.00	0.00	7,886.44
		Generalitat Valenciana	Audiovisual and printing	0.00	0.00	4,731.86
	X	Generalitat Valenciana	Travel	0.00	0.00	15,772.87
Subtotal Target 2.				**14,000.00**	**179,803.14**	**93,932.23**
Output 2: Conduct an assessment and provide advisory and technical backstopping services to a local government in joint work with COs		UNDP/ Local governments and other local actors	UNDP -TRAC — Travel	0.00	0.00	0.00
Capacities of local actors strengthened for improved citizens' culture and urban security management systems	X X X		Local governments — Travel	10,000.00	0.00	0.00

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Activity / Description	Timeframe				Funding source	Budget description	Amount		
Target 3: Advisory services and technical support to COs and local actors provided in one country and one international training program carried out					Local governments	Survey	10,000.00	0.00	0.00
Baseline: NA					Local governments	Local consultants	40,000.00	0.00	0.00
					UNDP-TRAC	Local consultants	1,395.00	0.00	0.00
Indicator:					Local governments	Local consultants	7,500.00	0.00	0.00
▪ Number of regional experts (individual and academic institutions) contacted and participating in the development of knowledge tools	X	X			UNDP-TRAC	Local consultants	2,000.00	0.00	0.00
Forge alliances for the organization and academic coordination of the training program									
Compile and print training material.	X	X			Local governments	Travel	11,000.00	0.00	0.00
▪ Number of participants to the training program	X	X			Local governments	Audiovisual and printing	6,000.00	0.00	0.00
Promote the training programs and register participants.	X	X			Local governments	Sundry	2,000.00	0.00	0.00
Make logistic arrangements prior and during the training program									

Subtotal Target 3.	training program			89,895.00	0.00	0.00	0.00
Output 3: Transition from the provision of technical services on citizens' security and civic culture to knowledge management for citizens' security advisory services, achieved (thematic phasing-out strategy).	Update assessment and Optimize action and tools, deriving key aspects to support on KM advisory services provision. X	UNDP/Local governments, UN Agencies (UNLIREC, UNFPA, UNICEF, UNIFEM) X	UNDP-TRAC	Local consultants	2,000.00	0.00	0.00	0.00
Target 4: Tools up-dated & optimized and at least one agreement with a UN agency on knowledge management for citizens' security and civic culture developed.	Negotiate agreements with UN system agencies to provide technical assistance on knowledge management for citizens' security and civic culture. X	X	UNDP-TRAC	Local Consultants	605.00	0.00	0.00
			UNDP-TRAC	Travel	0.00	0.00	0.00
			UN Agencies	Travel	5,500.00	0.00	0.00
Baseline: NA **Indicator:**			UN Agencies	Local consultants	4,500.00	0.00	0.00

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Activity / Item	Funding Source	Budget Category	Amount				Timeline
Number of tools published and validated in the DG LAC cluster online application	UNDP-TRAC	Local Consultant	1,000.00	0.00	0.00	0.00	X X
Number of agreements developed with UN agencies for knowledge management for citizen's security and civic culture.	UNDP-TRAC	Local Consultant	1,000.00	0.00	0.00	0.00	X X
Document the experience of advising local governments and CO's on citizens' security and civic culture at the local level.	UNDP-TRAC	Local Consultant	1,000.00	0.00	0.00	0.00	X
Subtotal Target 4.	UNDP		15,605.00	0.00	0.00		
Operational expenses	Generalitat Valenciana	GMS	17,340.68	37,068.66			X X X X X X X
GMS (on Valencia and Government's contributions)	Local governments	GMS	0.00	0.00			X X X X X X X X
Communications	Generalitat Valenciana	Comm. and audiovisual equipment	9,500.00	0.00			X X X X X X X X
	UNDP-TRAC	Comm. and audiovisual equipment	12,532.60	0.00			X X X X X X X X X
Supplies	UNDP-TRAC	Supplies	2,467.40	0.00			X X X X X X X X X

	Rent									Supplies	Rent	Rent			
										UNDP LAC-SURF	UNDP - TRAC	UNDP LAC-SURF			
		X	X	X	X	X	X	X	X				6,500.00	0.00	0.00
													6,000.00	0.00	0.00
													15,000.00	0.00	0.00
Subtotal operational expenses													69,340.68	37,068.66	0.00
TOTAL													188,840.68	776,310.95	98,664.09

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V. MANAGEMENT ARRANGEMENTS

This Regional Project is executed under the DEX modality by RBLAC. This project contributes to the RBLAC Regional Programme Democratic Governance outcomes and its execution is responsibility of the Democratic Governance Coordinator. The Local Governance and Decentralization Policy Advisor, based in the Regional Centre Panama, – as part of the DG Cluster- is assigned the responsibility of Project Manager. Project Assurance is responsibility of the DG Programme Specialist with the support of the Finance Associate at RBLAC (HQ). RSC Panama provides administrative support. Knowledge Management Unit provides technical assistance to the project. Project Manager supports UNDP Country Offices in project execution. Reports to the main donor, the *Generalitat Valenciana*, will be sent by the Project Manager after approval of the DG Cluster Coordinator. Regional Project management is organized as follows:

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                            ┌─────────────────────────────────┐
                            │           Beneficiaries          │
                            └─────────────────────────────────┘
                                          │
                            ┌─────────────────────────┐
                            │      RBLAC DIRECTOR       │
                            └─────────────────────────┘
                                          │
                            ┌─────────────────────────┐
                            │  RBLAC Deputy Director    │
                            └─────────────────────────┘
                                          │
  ┌──────────────────┐      ┌─────────────────────────┐      ┌──────────────────────┐
  │ Regional Programme│──────│    RBLAC Democratic      │──────│ DG Thematic Advisory  │
  │ Review Group-RPRG │      │      Governance          │      │   Panel: Donors       │
  └──────────────────┘      │     Coordinator          │      │(Generalitat of Valencia),│
                            └─────────────────────────┘      │ Governments, UNDP     │
                                          │                   └──────────────────────┘
  ┌──────────────────┐      ┌─────────────────────────┐      ┌──────────────────────┐
  │ Project Assurance │      │    Project Manager       │      │ Operations Support    │
  │(Democratic        │      │ (Local Governance Policy │──────│    RSC Panama         │
  │ Governance        │      │      Advisor)            │      ├──────────────────────┤
  │ Program Specialist│      └─────────────────────────┘      │ Technical Assistance  │
  │ and Finance       │                 │                     │ Support - Knowledge   │
  │ Associate)        │                 │                     │ Management Unit       │
  └──────────────────┘                  │                     └──────────────────────┘
                            ┌─────────────────────────┐
                            │        UNDP COs          │
                            │      (Colombia,          │
                            │   Dominican Rep., El     │
                            │      Salvador            │
                            └─────────────────────────┘
                                          │
      ┌───────────────────┐    ┌───────────────────┐    ┌───────────────────┐
      │ Prologo Local Center│    │ Prologo Local Center│    │ Prologo Local Center│
      │     Colombia       │    │    El Salvador     │    │ Dominican Republic │
      └───────────────────┘    └───────────────────┘    └───────────────────┘
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The structure and directives of regional projects approved by RBLAC –following UNDP norms and procedures- establishes that the Democratic Governance Coordinator is responsible of DG Programme results to the RBLAC Director, the DG Thematic Advisory Panel and the Beneficiaries, Donors and Partners (Governments and others). Project Manager is directly responsible for implementing project activities and products and reports to the DG Coordinator. Project Assurance is responsibility of the DG Programme Specialist with the support of the Finance Associate. Regional Service Center in Panama provides operations support.

The project regional node will be coordinated by the Local Governance and Decentralization Policy Advisor located at the Regional Centre in Panama in close consultation with and oversight of the Democratic Governance Practice Leader and the Program Specialist (RBLAC DG Cluster). As in the previous phase, the Regional Centre will provide operational support

The PROLOGO Network is under the coordination of the Project Manager, who will be responsible for: i) the development of the products introduced in the Results and Resources Framework presented on Section III of this document, ii) executing the annual workplan, iii) Managing the project's technical and human resources, and iv) in coordination with UNDP Country Offices preparing reports The Project Manager will also coordinate Knowledge Management activities with the Knowledge Management Unit

The *Generalitat de la Comunidad Valenciana* has designated a permanent focal point for technical and managerial issues UNDP country Offices in the participant countries has designated a focal point for project activities coordination Focal points from RBLAC, COs and the Generalitat Valenciana have access to the bi-annual reports as well as any other reports requested

According to the UNDP cost-recovery Policy, 7% of General Management Services (GMS – indirect costs) should be applied to Third-Party Cost-sharing and Trust-Funds'. Additionally, only if otherwise instructed by the donors in the cost-sharing agreements, the interests of cost-sharing generated with the contributions received should be used for reprogramming by the regional project

All assets and contributions from past project under Business Unit COL10 were transferred to the new Award created in the Atlas system

VI. MONITORING AND EVALUATION

The Project Manager is responsible for providing mid-term and annual reports according to UNDP new Results-Based Management procedures and mechanisms as well as supplementary information as per request of the Project Board or respective funding sources The Project also plans on organizing a tripartite evaluation to be conducted by October 2010 and an external evaluation upon the completion of the year 2010 for which specific resources will be allocated. The monitoring framework is briefly stated below (although the Project Board may suggest adjustments of indicators over time).

Outputs targets	Indicators	Quality Method
Three local governance centers and one regional centre established and functioning in at least three countries	• Number of municipalities where Local Centers have been negotiated/established • Number of civil society organizations, academia, private sector and media participating on the creation and/or implementation of the Local Centers • Number of citizens' initiatives jumpstarted by the local encounters.	Annual reports External evaluation reports
One regional centre established and functioning	• Number of Tools and methodologies compiled and adapted for the Local Centers • Website created and updated with information from all local centers. • Number of events (virtual and real) organized by the regional centre for the promotion and exchange of experiences	Annual reports External evaluation reports
Advisory services and technical support to COs and local actors provided in one country and one international training program carried out	• Number of regional experts (individual and institutions) contacted and participating in the development of knowledge tools • Number of participants to the training program	Project reports Participant registration logs
Tools up-dated & optimized and at least one agreement with a UN agency on knowledge management for citizens' security and civic culture developed.	• Number of agreements developed with UN agencies for knowledge management for citizen's security and civic culture • Number of tools published and validated in the DG LAC cluster online application	Project Reports Application log

VII.   LEGAL CONTEXT

The project document shall be the instrument envisaged and defined in the supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as the "Project Document"

This project will be executed by the agency UNDP ("Executing Agency") 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 Executing Agency does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective internal, competition that of UNDP shall apply.

The responsibility for the safety and security of the Executing Agency and its personnel and property, and of UNDP's property in the Executing Agency's custody, rests with the Executing Agency. The Executing Agency shall: (a) 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; (b) assume all risks and liabilities related to the executing agency's security, and the full implementation of the security plan when necessary. Failure to maintain and implement and appropriate security plan as required hereunder shall be deemed a breach of this agreement

The Executing Agency agrees to undertake all responsible efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide 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/Docs/sc/committees/1267/1267ListEng.htm This provision must be in all sub-contracts or sub- agreements entered into this Project Document.

This project also forms part of an overall programmatic framework under which several separate associated country level activities would be implemented. When assistance and support services are provided from this project to the associated country level activities, this document shall be the "Project Document" instrument referred to in (i) the respective signed SBAAs for the specific countries, or (ii) in the Supplemental Provisions attached to the Project Document in cases where the recipient country has not signed an SAA with UNDP

ANNEX 1. RISK LOG

Project Title:	Regional Project on Local Governance for Latin America			Award ID: Proposal ID 49799			Updated: August 2009	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1	Delay in the allocation of resources from the Generalitat of Valencia.	March 2008	Financial	Probability= 3 Impact = 4	-Maintain a fluent and permanent communication with the Generalitat of Valencia.	Regional Project Coordinator	Regional Project Coordinator	August 2009	Reducing
2	Delay in the achievement of agreements with local governments to develop the initiatives.	March 2008	Political	Probability = 3 Impact = 5	-Keep a constant communication. -Provide in advance clear information on the procedures and norms required by UNDP when signing an agreement.	Regional Project Coordinator	Regional Project Coordinator	August 2009	Reducing
3	Difficulties on reaching civil society and local community through the initiatives.	March 2008	Strategic	Probability = 2 Impact =4	-Use monitoring mechanisms -Apply effective communication ways to reach CSO and communities. -Establish concrete indicators to ensure CSOs and community participation.	Regional Project Coordinator	Regional Project Coordinator	August 2009	Reducing
4	Delay in the implementation due to UNDP operational procedures that require lengthy processing time	August 2009	Administra tive	Probability=5 Impact=5	-Create critical awareness among UNDP Programming Managers on the implications of administrative delay on effective implementation -Promote a proactive liaison with Generalitat Valenciana at the Regional Centre level	Regional Project Coordinator	Regional Project Coordinator	August 2009	Increasing

5	-Fully use of the technological platform can be jeopardized by digital divide of local stakeholders	August 2009	Technical	Probability=3 Impact=3	-Train local stakeholders and facilitate their use of the platform as a mean to build capacities to participate in local democracy.	Regional Project Coordinator	Regional Project Coordinator	August 2009	Reducing

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ANNEX 2. THE KNOWLEDGE MANAGEMENT PLATFORM

Various reforms have been undertaken to transform UNDP into a knowledge-based organization As a result of the implementation of the Business Plans 2000-2003, nine Sub-regional Resource Facilities (SURF) were created in 2001 (some of them have now been merged with regional programmes and other regional units in Regional Centres) and a KM Roadmap was designed and partially implemented (which includes the strengthening of communities of practice, knowledge networks, an intranet unified taxonomy and a syndicated global roster)

The peculiarities of the LAC region such as the abundant technical expertise within the countries and UNDP reliance on non-core funding, as well as the need to reinvigorate the so-called LAC model in various countries, were factors contributing to the emergence of a LAC alternative strategy of KM UNDP in LAC has approached knowledge management as a key strategy to open new business opportunities and to provide greater value-added in Country Offices' day-to-day operations On the bases of the joint work of the Policy Advisor on Local Governance and the Regional Project on Local Governance for LAC, a KM platform (see diagram below) was produced in order to facilitate the transformation of policy frameworks and empirical knowledge into operational tools to be used by Country Offices in their functions of advocacy, policy advice and all phases of project management This methodology is grounded on three strategic pillars:

- Emphasis is placed on knowledge products over knowledge services. The knowledge platform activities are focused on developing knowledge products; strengthening country office's capacities to apply these products in their day-to-day functions; and improving the products with the feedback received from COs.

- Knowledge management nurtures UNDP substantive operations. The knowledge products are designed to be used as guidelines for the substantive work of country offices in the areas of advocacy, policy advice, partnering and programming Effectiveness of knowledge products is thus measured in terms of improvement of UNDP ongoing business and/or generation of new business opportunities in areas where national demands and corporate priorities coincide

- UNDP role as knowledge broker is fundamental. The model goes beyond the corporate focus of capturing UNDP internal knowledge and learning from it It recognizes that there is very valuable knowledge outside the Organization from which UNDP must learn Furthermore, it capitalizes on UNDP comparative advantages to become a leader broker in development knowledge between development actors

The KM methodology can be defined as the process of identification, documentation, and codification of lessons learned and best practices as well as the development of knowledge products in key development areas The gathering and codification of these experiences is the main input for the development of knowledge products The knowledge products are flexible enough to be adapted to the particular characteristics and challenges faced in the LAC region, and ready-made to serve as the means to enhance the impact of service delivery These products are supported by a network of associate experts and diffusion, training and advocacy mechanisms

Initially, the KM platform was developed and implemented in the area of local governance (A LAC-SURF area and a Regional Project working together) Due to its success, since 2003 the platform has been implemented by other UNDP sub practice areas, and progressively has been adopted by all SURF practice areas, several associate programmes (e g Capacity 2015) and LAC regional projects Furthermore, the KM strategy adopted in LAC has provided inputs for key KM strategies in other Regional Centres (e g Asia and the Pacific, Europe and the CIS) and Global Programmes (e g Energy KM strategy)

Recently, a joint KM project has been designed by UNDP and UNICEF regional offices in LAC to develop knowledge tools that facilitate planning, implementation and evaluation of policies oriented to promote the realization of children rights at the municipal level. The two Agencies have combined resources and efforts to produce tools that are used as the bases for joint programming at the municipal level. A similar experience of collaborative work was conducted with ECLAC in the topic of financial and economic instruments for environmental management. The UNDP LAC KM strategy is proving its potential to set the bases for a UN integrated knowledge management platform.

The KM platform is comprised of a methodological framework and a technological infrastructure. The methodological framework is composed by the different types of products that facilitate information capturing (conceptual and policy frameworks, and empirical base), knowledge generation –analysis and codification of information- (diagnostic and advice tools, and programme management tools), and knowledge dissemination and transfer (advocacy, training and South-South cooperation tools). The technological infrastructure supports these products: an information system facilitates empirical information capturing, a website manager facilitates knowledge promotion, and a workspace eases the use and application of all knowledge products.

2.1 Methodological framework

The methodological framework consists of seven types of products as shown in Diagram 1. The package of products in one specific thematic area (service line or equivalent) is known as knowledge toolkit. The rationale of this set of knowledge products is to transform knowledge –both conceptual and empirical- (circle and oval in diagram) into ready-made tools (rectangles in diagram) to be incorporated into UNDP operations (advocacy, policy advice and project management). The toolkits are designed to empower UNDP Country Offices for advocating for core issues of the Human Development paradigm, providing sounder technical cooperation to clients and facilitating a coordinated action with other UN Agencies and Programmes. The package has been conceived in such a way to ensure full alignment with UNDP corporate paradigms and internal consistency among knowledge products (explanations will then include crossed references between products). The components of the common methodological framework are described below (Diagram 1 and table 1)

Diagram 1. Common methodological framework
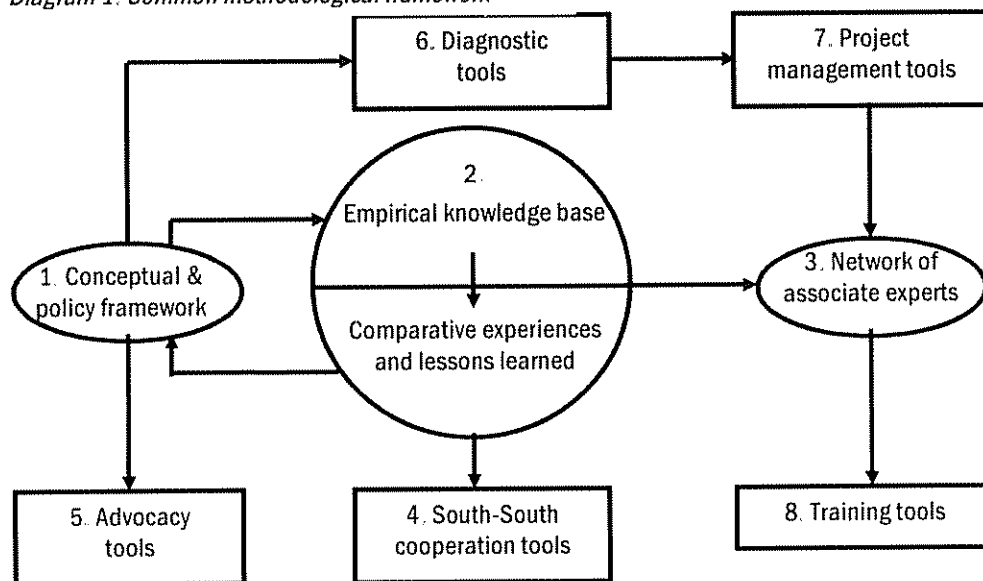
1. Conceptual and policy framework. The regional policy framework i) adapts UNDP position to the regional context peculiarities and "language", and ii) anchors concepts and policy positions with empirical knowledge from field experiences (product 2)

2. Empirical knowledge base, comparative experiences and lessons learned. The identification, codification, analysis and systematization of good practices –both inside and outside UNDP- is a central task Good practice analysis and lessons learned distillation is crucial for the development of diagnostic and programming tools (products 6 and 7)

3. Network of associate experts. Provides professional, institutional and contact information of experts and centres of excellence certified by UNDP Partnerships with associate experts expand UNDP's reach and ensure that UNDP's corporate mandate and priorities are consistent with regular operations The network permits enhancing UNDP knowledge base

4. South-South cooperation tools. Knowledge fairs are the S-S cooperation tools *par excellence* Knowledge fairs have been designed to advocate for HD subjects while enabling UNDP's knowledge brokering role by promoting the direct interaction between knowledge demanders and suppliers through innovative mechanisms such as stands, business rounds and agreements for knowledge transfer

5. Advocacy tools. Translate the policy framework (product 1) into material that can be used by COs for i) advocacy and policy support activities (e g conferences, seminars, media reports, etc), and ii) promoting new UNDP business opportunities

6. Diagnostic tools. UNDP's niche of action is diagnosis: it is the key for impacting policy as well as for designing, monitoring and evaluating projects Three dimensions are diagnosed using these tools: capacities, development needs and client's priorities The diagnostic tools permit to identify areas where policy development and capacity development interventions are needed (refer to product 7)

7. Project management tools Designed to facilitate project formulation, implementation, monitoring and evaluation Framed according to the conceptual and policy framework (product 1) and based on good practices (product 2). they are designed to provide substantive inputs on specific development areas They also provide inputs for ProDoc sections and are divided in i) planning and formulation tools, and ii) monitoring and evaluation tools

8. Training tools Formal (University certificates) and non-formal (on-the-job) training mechanisms are designed to build and share knowledge, ensuring that capacities at the individual level are also developed in UNDP COs, UNDP counterparts and other relevant stakeholders

2.2 Technological infrastructure

The methodological framework is supported by a virtual workspace that enables internal coordination among UNDP regional offices, Country Offices, and interaction with UN regional offices and associate experts. The workspace contains project management tools; knowledge management tools; and information and communication tools that can be customized for each user Two additional instruments have been designed to support specific knowledge products. LOGOSIS is a web application for knowledge dissemination This facility was developed to capture and codify empirical knowledge in real-time The website LOGOS displays the good practices and includes specific sections for facilitating communication activities (fora, chats, virtual fair facility) and channel external demands into UNDP Country Offices, enhancing UNDP visibility and responsiveness.

ANNEX 3.

United Nations Development Programme
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Regional Bureau for Latin America and the Caribbean

Interoffice
Memorandum

To: Ad Melkert   Date: September 29, 2008
   Associate Administrator

From: Niky Fabiancic   Extension: 5400
   Deputy Regional Director

Subject: **Request for Direct Execution for Regional Project on Local** File:
   Governance for Latin America – DEX Panama Regional
   Services Center – Atlas Award # 49799 – from September
   2008 until August 2009

I am attaching for your consideration and approval, a request for Direct Execution modality from our regional Project on Local Governance in Latin America and implemented by the Regional Service Center based in Panama, Atlas Award number 49799 from August 2008 until July 2009

Background and Objective of the Project

This DEX request is for the second and final phase of the regional project on Local Governance for Latin America

Achievements of the first phase

The first phase of the Regional Project, based on the partnership RBLAC-BDP, initiated its activities in 2002, with the objective of strengthening local governance in the region by providing local actors with practical and relevant knowledge for the advancement of key human development objectives, in particular, citizens' security and civic culture as well as the achievement of the Millennium Development Goals

In this context, the Regional Project on Local Governance developed a Knowledge Management platform that has allowed the creation, systematization and diffusion of tools, methodologies and knowledge products (good practices, case studies, and policy recommendations) in the region, adding value to UNDP technical assistance in this field and encouraging south-south cooperation The platform is supported by a network of associate experts and advocacy material The project has been active in the following countries Colombia, Mexico, Honduras, Dominican Republic, El Salvador, Ecuador, Bolivia, and Brazil

The project will operationally close its activities by the end of August and will financially close by the end of the year/ Over the past 6 years of implementation, it has prepared mid-term and annual reports where it identified key results and lessons learned Currently, the project is preparing a final report containing, a substantive and financial analysis as well as lessons learned, in order to conclude the first phase of the project's implementation The final report and lessons learned matrix will be prepared, reviewed and approved by the project board before the closure of the project. Over the course of its implementation, two audits have reviewed this Regional Project: The first one took place in 2006 as the UNDP Colombia Office was audited (UNDP Colombia was the project's implementing agency) and the second was part of the evaluation of the Second Regional Cooperation Framework During the audit in Colombia, no concern was mentioned regarding the

financial management of the project The evaluation team of the Second RCF highlighted that the regional project was highly relevant, and satisfactorily efficient, effective and sustainable (cf 19 of the evaluation of the second RCF)

<u>Activities and outputs of the second phase and exit strategy</u>

For the new programming and final project implementation phase, the project will contribute to two major outcomes of UNDP Strategic Plan (2008-2011) and Regional Programme Document for 2008-2011 on 1) fostering inclusive participation and 2) strengthening responsive institutions at the local level (i e sub-national which can be municipal or intermediate levels such as provinces, departments or states) through the dissemination of good practices and innovations, development of knowledge products and tools and provision of capacity development and advisory services to local stakeholders through specific demonstrative interventions

In terms of citizen's security and civic culture, the project will provide technical assistance to Cartagena, Colombia and will then focus on documenting and systematizing experience and expertise acquired in the field of citizens' security and civic culture to be used as an input for advisory services on this matter by the Democratic Governance Cluster as well as the Crisis Prevention and Recovery Cluster of RBLAC.

Additionally, in partnership with the Generalitat of Valencia, the Regional Project PROLOGO ('Proposals for Local Governance) will create three local centers, one in each of the following countries: Colombia. El Salvador and Dominican Republic These municipal-level centers will serve as learning and networking facilities to develop local actors' capacities in democratic governance aimed at the achievement of the MDGs The main functions of each centre will be: i) analyze and follow up the local governance conditions for MDG achievement, ii) publicize information and provide scenarios for citizens debate, iii) identify strategic areas of intervention and facilitate dialogue among sub national governments and other local actors, and iv) provide feedback to a regional node on the tools and methodologies used. The regional node will articulate the local centers, and will promote partnerships to establish the local centers, create synergies among them and with other relevant development actors and initiatives within and outside the UN System, further develop common knowledge tools on local governance for the MDGs, and monitor the activities carried out by local centers

From the very beginning, the local centers will be created in association with local CSOs Each local center will be equipped by the PROLOGO Project with the methodological capacities and technological infrastructure to put into action innovative methodologies and mechanisms to promote public participation and social control at the local level The Prologo Project will ensure its sustainability by: i) assuring the participation and leadership of at least one local CSO in the creation of each local center, ii) providing each local center with sound methodological capacities, and iii) promoting the appropriation of the center by the community with the architectural renovation of a symbolic venue to act as the local center's operations center

The Prologo Project hands over to local actors in the region the local governance tools and methodologies developed by the Regional Project on Local Governance These tools have been already applied and validated with local stakeholders from different LAC countries The local centers will be in capacity to adapt these methodologies and provide assistance to other local initiatives for strengthening citizen participation and community empowerment

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Justification

We would like to request Direct Execution for this project for the following reasons:

- The project is implementing its final phase before closure. As such, changing its modality of execution is not a best course of action at this stage to ensure effective delivery of activities and ensure that the exit strategy is handled correctly

- The Direct Execution of the project provides an enabling policy and regulatory environment for direct service delivery so that it can meet emerging clients' demands for services and support in a wider range of circumstances Combined with country office capacities, de DEX implementation has enabled the project to seek and secure new business opportunities providing an effective mechanism to meet national demands and donor needs for quick response and implementation The Spanish decentralized cooperation (Generalitat de Valencia) agreed on the Direct Execution modality to implement the initiatives promoted by the decentralized entity

- National/local authorities of countries in which the project is currently implementing its activities on Citizen's security and Civic culture and MDGs, lack the capacities to carry out the project Diagnosis and strengthening of local governance conditions in contexts of tense relations between central and local levels is a politically sensible undertaking which requires UNDP to remain impartial, independent and neutral For the period 2008-2009, the project will implement its activities in countries such as Colombia and El Salvador where the political and governance situations are complex and calls for a direct execution by UNDP Additionally, there is a continuous demand from the LAC countries to work on local governance and use the toolkits developed by the project

- There is no other organization in the Latin American Region and within the United Nations System that has the operational and technical capacity to successfully implement the project and guarantee its expected results and impact

  UNDP Regional Service Center based in Panama is the implementing entity for the Regional Project on Local Governance The Regional Bureau is also working on workflows and responsibilities to ensure a closer monitoring of its regional projects The budget revisions will be prepared by the Regional Service Center but reviewed in HQ before approval. Activities of the Regional project under the Democratic Governance Cluster and are regularly reviewed and assessed with the Regional Democratic Governance Practice Team Leader

Under the previous considerations, I would appreciate your authorization to directly execute the Regional Project on Local Governance as it is imperative that UNDP/RBLAC continues assuming overall management responsibility and accountability for the project implementation

Thank you and kind regards

Attached Documentation Project Document including risk log. Annual Workplan 2008-2009.

Reviewed by OSG:

Terese Goodman: _Verene Ardmay_, 3:Oct-08

Approved by:

Ad Melkert: _Jemeca_ 10/10/08

ANNEX 4.

Selected Sample of Local Governance Tools and Methodologies

LOCAL GOVERNANCE		
Type	**Tools developed**	**Aplication**
Conceptual Framework	Local Governance Agenda	Inputs for: - Tools design in local governance. and - Providing consulting services to municipalities in the region and outside partners as: Departamento Nacional de Planeación (Colombia). y Escuela de Gobierno de Antioquia (Colombia)
Guidelines for action	Management of human development at the local level (Urban Development)	
	Participatory management of local development	
	Strategies for localization of the MDGs at the local level	
	Guidelines for the design of action plans for strengthening the local governance conditions to achieve the MDGs	Designed plans in the municipalities of Copán, Lempira, Intibucá, Valle, Choluteca, Atlántida, Opalaca and Yamaranguila - Honduras Guidelines for policy formulation La Paz, Bolivia. Designed plans in Baba and Babahoyo, Ecuador. Designed plans in the Sonsonate province - El Salvador
Empirical Knowledge Base	Map of good practices in local governance	287 good practices identified and 104 deeply documented in 15 Latin American countries

	🗺	Detailed documentation of experience in Local Governance in Bogota	Input for knowledge transfer in Santo Domingo - Dominican Republic.
			Input for knowledge transfer in Quito - Ecuador
	🗺	Detailed documentation of experience in Local Governance in Guayaquil	
	🗺	Detailed documentation of experience in Local Governance in Rosario	Input for knowledge transfer in: La Paz, Bolivia
Diagnostic	⚒	Guidelines for the analysis of local governance conditions at national and provincial levels	Applied in Santiago del Estero Argentina
			Applied in Dominican Republic
	⚒	Methodological guide for the analysis and evaluation of local governance conditions	Diagnostico aplicado en Villa Ojo del Agua, Argentina
	⚒	Tool for the local governance diagnosis	
	⚒	Tools for diagnosing conditions of local governance to achieve the MDGs:	
	⚒	Methodology for mapping strategic actors for the achievement of the MDGs	Applied in municipalities of Honduras. Bolivia. El Salvador and Ecuador
	⚒	Competence and resources matrix for the MDGs	Applied in municipalities of Honduras, Bolivia, El Salvador and Ecuador
	⚒	Diagnostic tool of local governance conditions to achieve the MDGs, including new module on gender, governance and political participation of women	Applied: La Paz - Bolivia. Baba and Babahoyo - Ecuador. Sonsonate Province - El Salvador
	⚒	Application guide of the diagnostic tool of local governance	Honduras

		conditions to achieve the MDGs	
	✗	Support materials for workshop implementation of the diagnostic tool of local governance conditions to achieve the MDGs	Used in workshops in municipalities of Honduras, Bolivia, El Salvador and Ecuador
Advocacy Material	👪	Paper on promotion and advocacy for external actors	Used for multiple events and workshops

ANNEX V.

## VIRTUAL COURSE ON LOCAL DEMOCRACY

Ejes temáticos:

I.   Breve introducción conceptual sobre la democracia local (justificación) y método del curso: explicación de las partes

PARTE I

II.   Breve referencia histórica: la ubicación de lo local en la historia política latinoamericana: el Ayuntamiento. Las formas institucionales del gobierno local y su evolución. Responsabilidades.

III.   Los rasgos básicos de la democracia en las instituciones de locales: elecciones, principio de mayoría, constitucionalismo, pluralismo y tolerancia. Reflexión: el Estado como ámbito de la democracia y lo local como parte de lo estatal

IV.   Las décadas recientes: la descentralización, la reconfiguración del Estado y sus efectos en el ámbito local. La idea de *desarrollo local*. Casos (Brasil, ...)

V.   La cuestión de la territorialización de la política y sus múltiples efectos. Participación, responsabilización y diferencia: cambios en las ciudadanías.
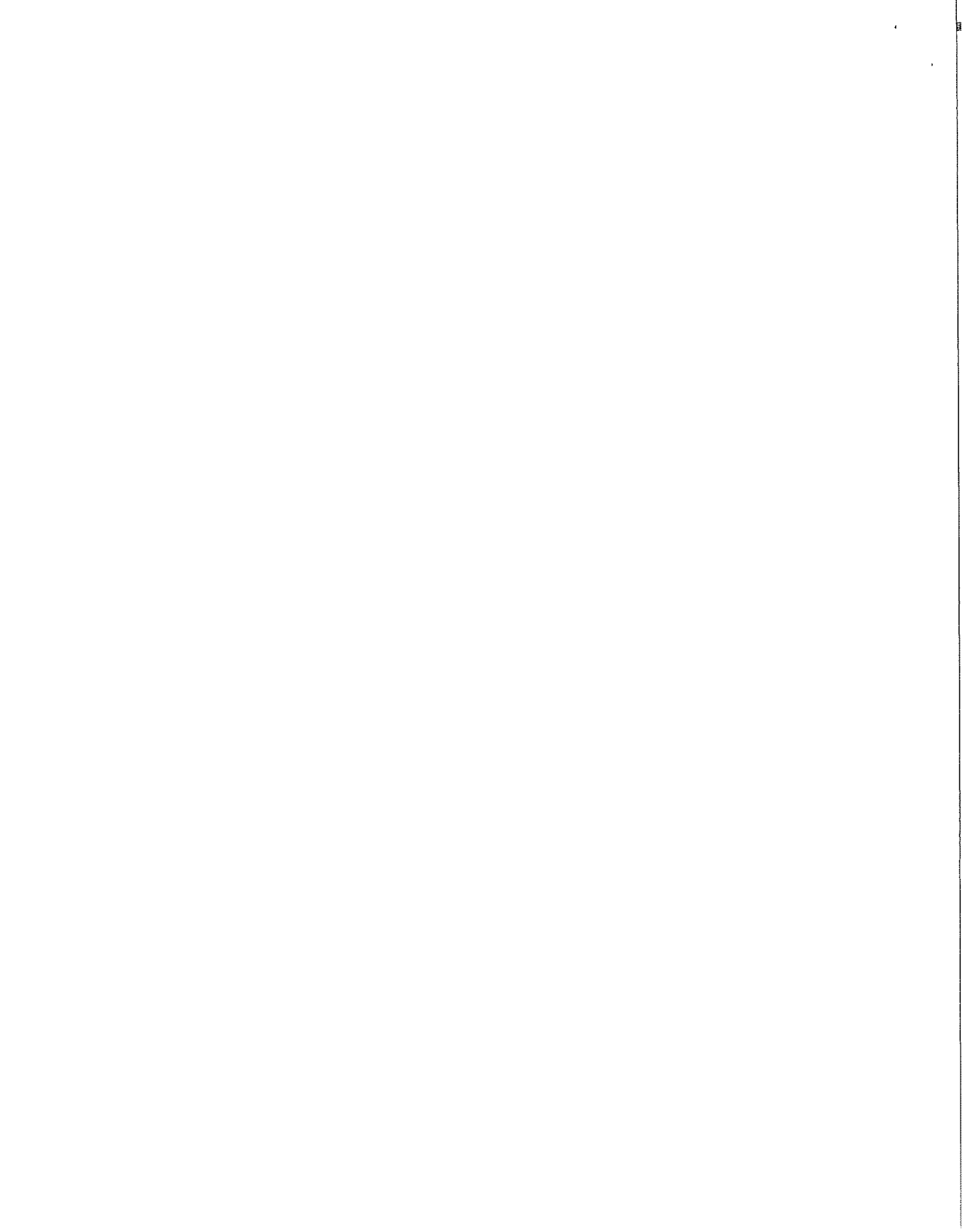
PARTE II: HERRAMIENTAS

- El concepto de gobernabilidad en el marco de las democracias y su aplicación en el ámbito local.
- Gestión local diseño de políticas y programas sociales. Identificación de buenas practicas
- Auditorias ciudadanas locales
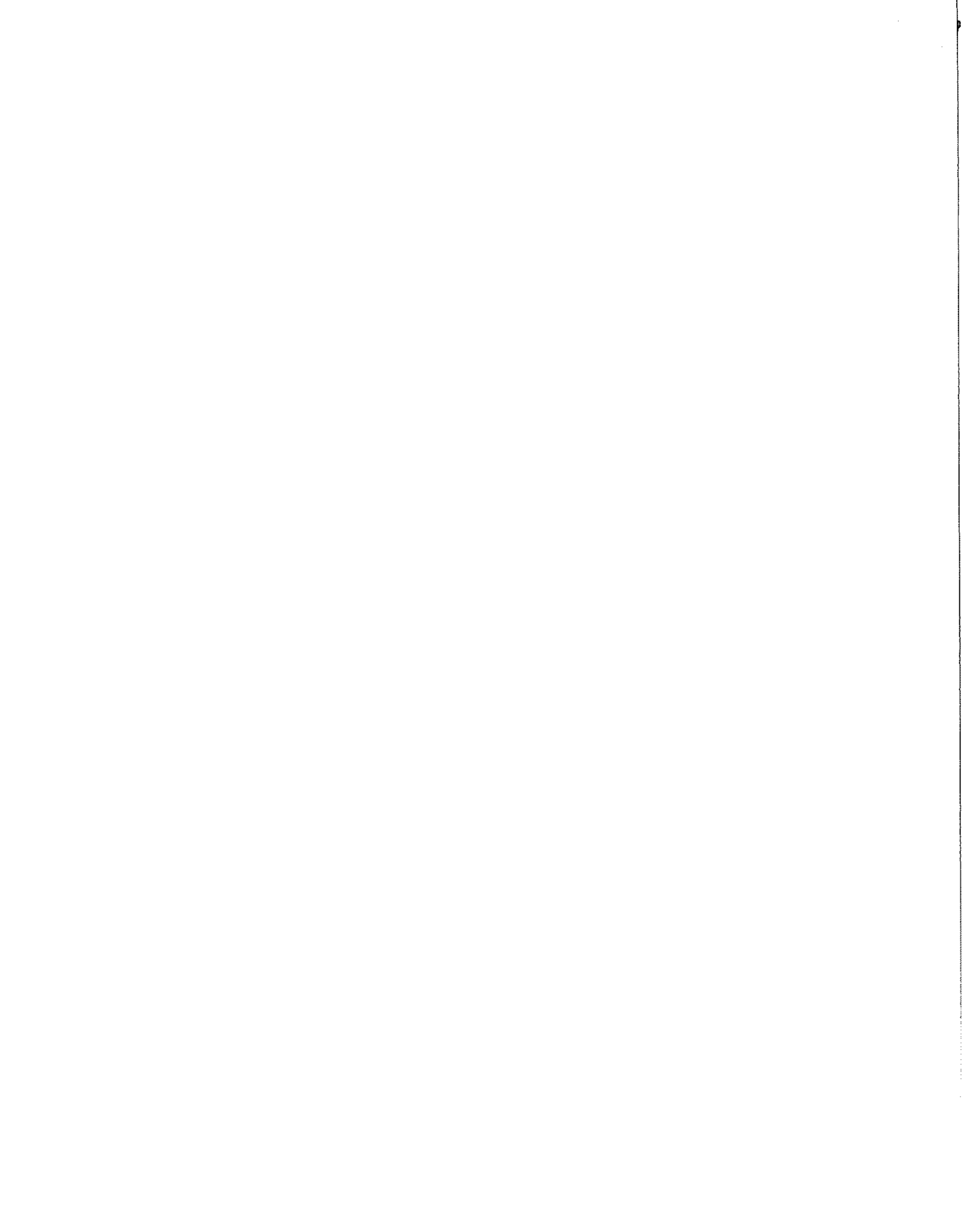
Project Title: Regional Project on Local Governance for Latin America. **Award ID:** Proposal ID 49799. **Updated: December 2010**

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
	Delay in the allocation of resources from the Generalitat Valencia.	March 2008	Financial	Probability= 3 Impact = 4	-Maintain a fluent and permanent communication with the Generalitat of Valencia.	Regional Project Coordinator	Regional Project Coordinator	August 2009	Reducing
	Delay in the achievement of agreements with local governments to develop the initiatives.	March 2008	Political	Probability = 3 Impact = 5	-Keep a constant communication. -Provide in advance clear information on the procedures and norms required by UNDP when signing an agreement.	Regional Project Coordinator	Regional Project Coordinator	August 2009	Reducing
	Difficulties on reaching civil society and local community through the initiatives.	March 2008	Strategic	Probability = 2 Impact =4	-Use monitoring mechanisms -Apply effective communication ways to reach CSO and communities. -Establish concrete indicators to ensure CSOs and community participation.	Regional Project Coordinator	Regional Project Coordinator	August 2009	Reducing
	Delay in the implementation due to UNDP operational procedures that require lengthy processing time	August 2009	Administrative	Probability=5 Impact=5	-Create critical awareness among UNDP Programming Managers on the implications of administrative delay on effective implementation -Promote a proactive liaison with Generalitat Valenciana at the Regional Centre level	Regional Project Coordinator	Regional Project Coordinator	August 2009	Increasing
	-Fully use of the technological	August 2009	Technical	Probability=3	-Train local stakeholders and facilitate their use of the platform	Regional Project	Regional Project	August 2009	Reducing

Risk	Date	Type	Probability / Impact	Countermeasure			Date	Status
platform can be jeopardized by digital divide of local stakeholders			Impact=3	as a mean to build capacities to participate in local democracy.	Coordinator	Coordinator		Reducing
Some activities, such as complementary capacity building and systematization, are experiencing some minor delays in country offices due to scheduling conflicts with partners and providers.	November 2010	Administrative	Probability=5 Impact=3	Maintain a fluent and permanent communication with the three country offices to commit/execute all resources before December 2010 and leave some activities to be left for the first two months of 2011.	Regional Project Coordinator	Regional Project Coordinator	December 2010	Reducing
External Evaluation may have to be postponed to January or February 2011	November 2010	Administrative and Technical	Probability=5 Impact=3	Maintain fluid communications with Generalitat and country offices and Virtual School and proactively making progress in all of the preparations for the Evaluation.	Regional Project Coordinator	Regional Project Coordinator	December 2010	Reducing