Project Document

Project Title

UNDAF Outcome(s):

Expected CP Outcome(s):
(Those linked to the project and extracted from the CPAP)

Expected Output(s):
(Those that will result from the project and extracted from the CPAP)

Implementing Partner:

Ministry of Economy and Budget Planning

Brief Description

The project's aim is to strengthen responsive governing institutions by assisting the Ministry of Economy and Budget Planning and the Administration of the President in improving efficient public administration system through developing the sector of public service delivery and public administration assessment. The project supports the development of an information system for public services provided by government agencies at the central and local levels, and software of the unified information system in a test mode.

Expected Project outputs are the following (1) Improving the system of government agencies activity and its services in view of international democratic governance standards and modern information and communication technologies (ICT); (2) Concept of a computerized management system for the delivery, monitoring and assessment of public services will be developed; 3) Ensuring public awareness by providing information on the provision of public services within unified information system.

Programme Period: 2010-2015

Key Result Area (Strategic Plan): Democratic Governance

Atlas Award ID:

Start date: March, 2013

End Date December, 2013

PAC Meeting Date 4 December 2012

Management Arrangements NIM

2013 AWP budget: USD 59,706

Total resources required USD 59,706

Total allocated resources: USD 59,706

- Regular
- Other:
  - UNDP USD 59,706
  - Japan Partnership Fund

Agreed by the Ministry of Economy and Budget Planning

Vice - Minister of Economy and Budget Planning

Madina Abylkasyymova

Agreed by UNDP:

UNDP Resident Representative in Kazakhstan

Stephen Tull
I. SITUATION ANALYSIS

In 2010, UNDP Kazakhstan in partnership with the Administration of the President of Kazakhstan and Ministry of Economy and Budget Planning launched technical assistance to support the newly introduced public administration assessment methodology in Kazakhstan. The project focuses on assisting lead government institutions to improve the new system of public administration performance assessment and also helps empowering citizens to hold government accountable for its performance. The performance assessment will help to identify governance problems, provide means for assessing the effectiveness of policy reforms to address those problems and formulate better policies.

Despite a number of complex public administration reforms implemented in Kazakhstan, the delivery of public services still has some institutional weaknesses and the maturity of democratic institutions to convey the voice of people through social dialogue requires further development. Through evaluation of quality of performance of the state bodies, including service delivery to citizens and proper management of resources, better implementation of state programmes and more effective strategy formulation will be achieved. Ability of state institutions to respond to the needs of people will be also targeted.

Expected outputs will contribute towards achievement of MDGs in medium term by: (1) introducing the annual assessment of state institutions to be in line with the up-to-date global standards; (2) improving public participation mechanisms, which envisage introduction of the effective customer satisfaction assessment techniques in the methodology for annual assessment; (3) strengthening capacities of the central and local state institutions to effectively respond to the needs of population, including vulnerable groups.

The project relates to the goals of the First priority of Japan's ODA for Kazakhstan, such as "Develop governmental capacities to formulate, implement, and manage policies, to improve governance and increase administrative efficiency". One of the main components of performance assessment system is the analysis of strategies and policies of various government bodies and their practical execution. It will be clear after the assessment whether policies pursued by public offices in Kazakhstan are effective and whether they reach their targets and goals. By contributing to improvement of a system of performance assessment the project promotes better personal performance of civil servants, as well as more efficiency and productivity in the government institutions in general. The project also contributes to better delivery of public services responding to the needs of population, assisting in building a sustainable society.

The current system of public administration assessment methodology focusing on 6 main focus areas:

1. Execution of strategic goals and tasks within the area of responsibility
2. Implementation of Presidential decrees and Governmental regulations
3. Budget execution
4. Public services delivery
5. Personnel management
6. Use of information technologies

The assessment process is built in a way of assembling a set of reporting documents and deliverables and their check against defined set of indicators and criteria. Currently, it is a man-powered time-consuming manual process done by peer-ministries and responsible agencies, which takes from several weeks to months. The next stage of the assessment system development is a creation of a unified information system, which could monitor the performance of certain government agencies and ministries on-line in real time regime. That would help the responsible agencies to save time for assessment, increase its efficiency and alleviate audit burden from peer-agencies.

The project intends to employ best experience available in the developed countries including Japan to streamline the process of governance assessment, such as benchmarking, use of indicators and feedback forms; research best practices of ICT applications in governance assessment systems; and develop a set of recommendations on relevant computer systems and software useful to unify and automate the process of assessment. Consolidated data management and a web-platform will be developed in co-operation with national/international IT and consulting companies for on-line delivery of public services and monitoring and evaluation of their quality. Best international practices like "Service Canada" will be reviewed as templates. The system/software will be designed to gather all necessary information and indicators in real-time on the provision of public services, as well as to provide services to the population in a clear, user-friendly format. The system will also provide opportunities for civil society evaluations and feedback.

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1 In 2013 the Ministry of Economic Development and Trade was restructured and the Ministry of Economy and Budget planning established.
**II. ANNUAL WORK PLAN**

**Year: 2013**

<table>
<thead>
<tr>
<th>EXPECTED OUTPUTS</th>
<th>PLANNED ACTIVITIES</th>
<th>TIMEFRAME</th>
<th>RESPONSIBLE PARTY</th>
<th>PLANNED BUDGET²</th>
</tr>
</thead>
<tbody>
<tr>
<td>Output 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>System of public administration assessment and service delivery are refined in view of best international practices</td>
<td>1 Activity result</td>
<td>Q1 Q2 Q3 Q4</td>
<td>UNDP Ministry of Economy and Budget Planning</td>
<td>Japanese Partnership Fund 71200 International consultants 20,000</td>
</tr>
<tr>
<td></td>
<td>Processes of public administration performance assessment and service delivery are streamlined in view of best international practices and leading ICT technologies</td>
<td></td>
<td></td>
<td>Japanese Partnership Fund 71300 National consultants 8,800</td>
</tr>
<tr>
<td></td>
<td>Action 1. Expert review of the best IT solutions and practices for public administration assessment systems</td>
<td></td>
<td></td>
<td>Japanese Partnership Fund 71600 Travel 7,000</td>
</tr>
<tr>
<td></td>
<td>Action 2. Research of best ICT applications and software applicable to public service delivery</td>
<td></td>
<td></td>
<td>Japanese Partnership Fund 71400 Contractual services - companies 20,000</td>
</tr>
<tr>
<td>Target 1</td>
<td>Stakeholders have knowledge on best available ICT tools applicable to governance assessment and public services system</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Baseline: Public administration performance assessment system in Kazakhstan is yet mostly hand-operated. Not all public services are provided on-line in a user friendly format.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Indicator: ICT solutions are advised for public administration assessment system and public service delivery.</td>
<td></td>
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</tr>
</tbody>
</table>

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² Each Activity Result (not each Action or each Output) should have a Planned Budget. Also, GMS (7%) must be listed in the Budget Description column for each Activity Result.
The project is nationally executed with the Ministry of Economy and Budget planning as an Implementing Partner. Ministry of Economy and Budget Planning is responsible for the legal regulation of public services in Kazakhstan. The project is a response to the needs of the Ministry of Economy and Budget planning and the Administration of the President and as key agencies responsible for the public administration assessment, identified through joint meetings and discussions. The Ministry of Economy and Budget planning has adequate capacity as well as the authority to further roll out activities that were piloted through the project. The Implementing partner is leading in project implementation and has ownership of project results. UNDP Kazakhstan will provide support services, technical advice and will assist in monitoring and evaluation (as per the Annex 1 in accordance with UNDP rules and procedures). UNDP is also responsible for financial and program reporting to donors.

For effective implementation the project structure requires the following roles/focal points:

- Project Board;
- Project Assurance;
- Project Manager.

**Project Board:**

The Project Board is responsible for making management decisions for the project and providing guidance to the Project Manager in case of significant deviations in the delivery of project outputs from established time and budget limits. During the running of the project the Project Board will meet at least twice a year to assess the project’s progress against planned outputs, give strategic directions to the implementation of the project and identify any corrective action to be taken, and to assess how well the outputs were achieved.

The Project board includes representatives of the:

- **Executive** – Ministry of Economy and Budget planning, Administration of the President, UNDP (2 representatives);
- **Senior Supplier** – UNDP-Japan Partnership Fund (1 representative);
- **Senior Beneficiaries** – Ministry of Economy and Budget planning (3 representatives);

**The role of Project Assurance,** including project oversight and monitoring functions, is assumed by the Project Board, while UNDP Governance Team carries out daily project oversight and monitoring functions.

**Project Manager:** To support the Implementing Partner in the project realisation, a Project Manager will be recruited. The Terms of Reference are attached as Annex 3. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager’s prime responsibility is to ensure that the project produces the outputs specified in the project document, to the required standard of quality and within the specified constraints of
time and cost, in which regard the tolerance levels will be 3 weeks deviation in implementation of project activities and up to 10% beyond the approved project budget amount.

**Partnership Information:**
Organization: United Nations Development Programme in Kazakhstan
Address: 26 Bukel Khan Str., Astana, Kazakhstan
Phone/Fax: +7 7172 59 25 50, +7 7172 592540
Web site: www.undp.kz

UNDP Focal Point: Ms. Madina Bakieva
Position: UNDP Programme Analyst
Phone/Fax: +7 7172 592550
E-mail: madina.bakieva@undp.org

Organization: the Ministry of Economy and Budget planning of Kazakhstan
Address: 8, Oymbor st, Esil district, 010000 Astana, “House of the Ministries”, 7th entrance
Phone: +7 7172 742947
Fax: +7 7172 743182
IV. Monitoring Framework and Evaluation

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

➢ On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.

➢ An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.

➢ Based on the initial risk analysis submitted (see annex 5), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.

➢ Based on the above information recorded in Atlas, a Quarterly Progress Reports (QPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.

➢ A project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project.

➢ A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

➢ Annual Review Report. An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.

➢ Annual Project Review. Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.
### OUTPUT 1: System of public administration assessment and service delivery are refined in view of best international practices

| Activity Result 1  | Stakeholders have knowledge on best available ICT tools applicable to governance assessment and public services system | Start Date: January 2013  
End Date: December, 2013 |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Purpose</strong></td>
<td>Processes of public administration performance assessment and service delivery are streamlined in view of best international practices and leading ICT technologies</td>
<td></td>
</tr>
</tbody>
</table>
| **Description**    | Planned actions to produce the activity result.  
1. Expert review of the best IT solutions and practices for public administration assessment systems  
2. Research of best ICT applications and software applicable to public service delivery  
3. Development and piloting a unified data management system/web platform for public service delivery in Kazakhstan | |
| **Quality Criteria** | **Quality Method**  
how/with what indicators the quality of the activity result will be measured? | **Date of Assessment**  
When will the assessment of quality be performed? |
| 1. TOR discussed and agreed  
2. Milestones of performance monitoring agreed  
3. Need/capacity assessment conducted and documented  
4. Number of staff coached, mentored and trained  
5. Number of recommendations implemented by counterparts  
6. Impact of support | • Assessment reports, recommendations  
• TOR developed  
• Monthly, Quarterly and Annual performance Reports  
• Project Evaluation Report  
• Data system piloted | April 2013 – Dec 2013 |
V. LEGAL CONTEXT

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner’s custody, rests with the implementing partner.

The implementing partner 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 implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

UNDP agrees to undertake all reasonable efforts to ensure that none of the funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document”.

VI. ANNEXES

ANNEX 1: Risk Log

ANNEX 2: Project proposal submitted to UNDP-Japan Partnership Fund
## ANNEX I. Risk Log

<table>
<thead>
<tr>
<th>#</th>
<th>Description</th>
<th>Category</th>
<th>Impact and Probability</th>
<th>Countermeasures/ Mngt response</th>
<th>Date Identified</th>
<th>Last update</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Political changes in the central and local government</td>
<td>Political</td>
<td>I - medium</td>
<td>Involve a wider range of government stakeholders; base the project on frameworks and goals stipulated in the country’s strategic and programme documents</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>P - medium</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>2</td>
<td>Recommendations of the project are not implemented in the assessment methodology and framework</td>
<td></td>
<td>I - high</td>
<td>Sensitization of government counterparts on democratic governance principles; actions to promote deeper behavioural change; regular meetings and discussions with government stakeholders</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>P - low</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Other donor organisations'/ government initiatives in the same area overlap or contradict with the project</td>
<td>Political</td>
<td>I - medium</td>
<td>Convene regular coordination meetings with donors and national stakeholders active in this area</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>P - medium</td>
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<td></td>
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</tbody>
</table>
ANNEX II. Project Proposal for UNDP-Japan Partnership Fund

“Strengthening responsive governance for MDG acceleration in Kazakhstan”

1. **Date when the concept note is prepared:** June 29, 2011

2. **Benefiting country[ies]:** Kazakhstan

3. **Title of the project:** Strengthening responsive governance for MDG acceleration in Kazakhstan

4. **Duration of the project:** April – December 2012

5. **Reference to relevant Japan’s ODA priority:** 1) Policy Decision, Framework Maintenance, and Human Capacity Development for Sustainable Economic Growth

6. **Situation analysis:**

In 2010, UNDP Kazakhstan in partnership with the Administration of the President of Kazakhstan and the Ministry of Economy and Budget Planning is responsible for the legal regulation of public services in Kazakhstan launched technical assistance to support the newly introduced public administration assessment methodology in Kazakhstan. The project focuses on assisting the Administration of the President and the Ministry of Economy and Budget Planning is responsible for the legal regulation of public services in Kazakhstan as the lead institutions to improve new system of public administration performance assessment at central and local levels to the public. It also helps to empower citizens to hold government accountable for its performance. The performance assessment will help to identify governance problems, provide means for assessing the effectiveness of policy reforms to address those problems and formulate better policies.

Despite a number of complex public administration reforms implemented in Kazakhstan, the delivery of public services still has some institutional weaknesses and the maturity of democratic institutions to convey the voice of people through social dialogue requires further development. Through evaluation of quality of performance of the state bodies, including service delivery to citizens and proper management of resources, better implementation of state programmes and more effective strategy formulation will be achieved. Ability of state institutions to respond to the needs of people will be also targeted.

Expected outputs will contribute towards achievement of MDGs in medium term by; (1) introducing the annual assessment of state institutions to be in line with the up-to-date global standards; (2) improving public participation mechanisms, which envisage introduction of the effective customer satisfaction assessment techniques in the methodology for annual assessment; (3) strengthening capacities of the central and local state institutions and civil society to understand, participate in and use performance assessments for the evidence-based policy-making.

The project relates to the goals of the First priority of Japan’s ODA for Kazakhstan, such as “Develop governmental capacities to formulate, implement, and manage policies, to improve governance and increase administrative efficiency”. One of the main components of performance assessment system is the analysis of strategies and policies of various government bodies and their practical execution. It will be clear after the assessment whether policies pursued by public offices in Kazakhstan are effective and whether they reach their targets and goals. By contributing to improvement of a system of performance assessment and giving training to civil servants, the project promotes better personal performance of civil servants, as well as more efficiency and productivity in the government institutions in general. The project also contributes to better development of strategies in the area of policy formulation and institution-building in governance area.
7. Project outline

- **Target beneficiaries (direct and indirect) and their location**

Administration of the President, the Ministry of Economy and Budget Planning is responsible for the legal regulation of public services in Kazakhstan, Ministry of Finance, Ministry of Communications and Information and Agency of Civil Service, Kazakhstan

- **Specific objectives**

The project will be targeting the three main directions:
- Expert assistance and national capacity-building;
- Transfer of international experience and technologies (ICT applications and software) to apply within the governance assessment system;
- Empowerment of civil society participation in monitoring of public services.

- **Expected outputs, deliverables and activities**

1) Kazakhstan's Public administration assessment framework is refined in view of international democratic governance standards and modern information and communication technologies (ICT). Experts provide a set of practical recommendations to improve assessment methodology and tools;

2) Concept of a computerized system for data management within the performance assessment system will be developed. One unified information system among all participating ministries and local authorities is promoted;

3) Software of the unified information system is developed and piloted in at least 3 key government institutions.

The activities include:

1) **Expert review (One international and one national experts) of the public administration (PA) assessment methodology and provision of a set of recommendations**

Experts will review leading international practices and standards to improve assessment methodology developed by Kazakhstan. Benchmarks, indicators and questionnaire forms will be improved to better reflect needs of citizens and also of vulnerable groups.

2) **Research of best practices of ICT applications in governance assessment; development of recommendations on relevant computer systems and software**

IT experts together with governance specialists will review best practices of computerised public administration assessment systems to advise on relevant information databases, software and applications. Existing systems of Kazakhstan's ministries and agencies will be evaluated for further possible unification and consolidation within one effective system of performance assessment. Relevant web-applications to include civil society feedback and opinions will be introduced within this system.

3) **Development and piloting of unified information and data system for public administration assessment, also providing tools for civil society participation and feedback**

Unified, consolidated computer system will be developed in co-operation with national/international IT and consulting companies, and piloted for public administration performance assessment framework. The system/software will be designed to gather all necessary reports, information and indicators in real-time regime from relevant government bodies and agencies, making it ready for initial analysis and performance evaluation. Civil society evaluations will also be included to this system.
8. Management arrangements

The project is nationally executed with the Ministry of Economy and Budget Planning is responsible for the legal regulation of public services in Kazakhstan as an Implementing Partner. The project is a response to the needs of the Administration of the President and the Ministry of Economy and Budget Planning is responsible for the legal regulation of public services in Kazakhstan as key agencies responsible for the public administration assessment, identified through joint meetings and discussions. Ministry of Economy and Budget Planning is responsible for the legal regulation of public services in Kazakhstan has adequate capacity as well as the authority to further roll out activities that were piloted through the project. The Implementing partner is leading in project implementation and has ownership of project results.

9. Monitoring framework and evaluation

The monitoring will be carried out in accordance with UN/UNDP rules and regulations on monitoring and evaluation.

On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Project Document.

An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board. Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year.

10. Budget estimates

The estimated budget is USD 59,706. Through existing project (Atlas Project ID 00077763), UNDP will contribute in the amount of USD 202,000 in 2011.

The budget breakdown is the following:

<table>
<thead>
<tr>
<th>Activities</th>
<th>USD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity 1 Elaboration of practical recommendations on improvement of</td>
<td></td>
</tr>
<tr>
<td>public administration assessment system</td>
<td></td>
</tr>
<tr>
<td>1.1. International expert fee</td>
<td>10,000</td>
</tr>
<tr>
<td>1.2. Travel cost of international experts for workshop in Kazakhstan</td>
<td>7,000</td>
</tr>
<tr>
<td>1.3. National expert fee</td>
<td>2,000</td>
</tr>
<tr>
<td>Activity 2 Research of best practices of ICT applications and software</td>
<td>16,800</td>
</tr>
<tr>
<td>in governance assessment systems</td>
<td></td>
</tr>
<tr>
<td>Activity 3 Development and piloting of unified information and data</td>
<td>20,000</td>
</tr>
<tr>
<td>system for public administration assessment</td>
<td></td>
</tr>
<tr>
<td>GMS</td>
<td>4,200</td>
</tr>
<tr>
<td>TOTAL</td>
<td>60,000</td>
</tr>
</tbody>
</table>