



## UN Joint Programme Document

Country: Lao Peoples' Democratic Republic

Programme Title: National Governance and Public Administration Reform (GPAR) Programme - Governance for Inclusive Development Programme (GIDP)

Joint Programme Outcome(s): Local institutions are able to increase the coverage of basic services and include citizens' feedback in the planning cycle for services provision by 2020

UNPF 2017-21 Outcome 7/CPD 2017-21 Outcome 3: Institutions and policies at national and local level support the delivery of quality services that better respond to people's needs

UNDP Strategic Plan 2014-17 Output 3.2: Functions, financing and capacity of sub-national level institutions enabled to deliver improved basic services and respond to priorities voiced by the public<sup>1</sup>

Programme Duration: 4 years	Total estimated budget* (USD):	<b>9,454,729</b>
Anticipated start/end dates: 1 April 2017 - 31 March 2021	1. Funded Budget:	7,650,000
	2. Unfunded budget:	1,804,729
Fund Management Option(s): Parallel for UNDP and UNCDF core funds; Pass-through for relevant third-party contribution	* Total estimated budget includes both programme costs and indirect support costs	
	Sources of funded budget (USD):	
	Government <sup>2</sup>	600,000
	MoHA Annual Budget in Parallel (\$500,000)	
	Benefits In-kind (\$100,000)	
Managing or Administrative Agent: UNDP (if/as applicable)	UNDP	1,000,000
	UNCDF	1,000,000
	SDC <sup>3</sup>	5,000,000
	SDC <sup>4</sup>	50,000
	Other DPs	TBC

### Summary Description

The Governance for Inclusive Development Programme (GIDP) supports the government's strong desire to strengthen its public administration's ability to achieve the goals of better service delivery, promote wider governance improvements and increase citizens' systematic engagement, especially at the local levels where basic services are coordinated, planned, tracked and reported. The linkage to national partnerships and the Governance Sector Working Group (GSWG) provides the opportunity for national policy advocacy and discussions on the progress of the GID joint programme and on governance matters in general.

UN organizations	National Coordinating Authorities
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United Nations Development Programme (UNDP) Date & Seal	Ministry of Home Affairs (MoHA) Date & Seal 31 March 2017
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United Nations Capital Development Fund (UNCDF) Date & Seal 12 MAY 2017 	

<sup>1</sup> SP Output Indicator: Number of sub-national governments/administrations that have functioning planning, budgeting and monitoring systems (Indicator 3.2.2)

Data Components: Level of capacity of sub-national governments/administrations for planning delivery of basic services (3.2.2.A.1.1); Level of capacity of sub-national governments/administrations for budgeting delivery of basic services (3.2.2.A.2.1); and Level of capacity of sub-national governments/administrations for monitoring delivery of basic services (3.2.2.A.3.1)

<sup>2</sup> The Government contribution is subject to the formal agreement with MoHA and availability of MOHA annual budget'

<sup>3 & 4</sup> SDC contribution is still in negotiation. Final amount of SDC contribution is subject to the final cost-sharing agreement between

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# **1 EXECUTIVE SUMMARY**

## **1.1 Purpose**

The Governance for Inclusive Development Programme (GIDP) supports the government's strong desire to strengthen its public administration's ability to achieve the goals of better service delivery, promote wider governance improvements and increase citizens' systematic engagement, especially at the local levels where basic services are coordinated, planned, tracked and reported. The GIDP will act as a platform for providing tools and scalable learning that encourage more inclusive service delivery and local development, which benefits a wide section of Lao people. The linkage to national partnerships and the Governance Sector Working Group (GSWG) provides the opportunity for national policy advocacy and discussions on the progress of the GPAR GIDP and on governance matters in general.

The GIDP has been formulated under the framework of the National Governance and Public Administration Reform Programme (NGPAR) of the Government of Lao PDR (GoL), with the Ministry of Home Affairs (MoHA) to lead the implementation, with cross-sector cooperation and implementation by the Ministry of Finance (MoF), Ministry of Planning and Investment (MPI), and Provincial and District administrations. This programme is responsive to the growing emphasis on the need for multi-sector planning and the use of data/information to inform the content, nature and scope of district plans. At the same time, this programme also systematically captures villagers' perception on access and quality of basic services, and promotes opportunities for collaboration with civil society in local development and services.

## **1.2 Lessons**

The lessons from the NGPAR Programme indicate that the mechanisms it promoted can have a significant and scalable contribution to enhancing inclusive service delivery and local development. Being a programme that emphasises strengthening and financing district authorities, GPAR has emerged as a strong platform to deepen the engagement between communities and the local authorities, and to continue to move towards fiscal decentralisation and self-reliant local development. GPAR has pioneered and demonstrated deeper reflection on local development priorities and plans, and in channelling greater financial support from the state budget for expanding local infrastructure and delivering services.

With a programme footprint that is operational in nearly half the districts of the country and which leverages MoHA's downstream offices at the Provincial and District levels, the NGPAR programme offers an effective platform to roll out well-targeted interventions in selected districts. These can make definitive contributions to enhancing inclusive service delivery and local development and to increasing dialogue and collaboration between citizens and state for more effective service delivery.

## **1.3 Proposed GID Programme**

The proposed GID joint programme, led by MoHA and linking MoF, MPI, and central and local levels of administration, seeks to create a more enabling local governance environment that

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would improve service delivery and local development, whilst making it sustainable and inclusive. In order to achieve this goal, the programme expects to work across targeted sectors and districts delivering three main outputs: Inclusive local service delivery and development, Accountability framework and citizens' feedback, and Expanding partnerships and policy dialogue, with civil society engagement, for development effectiveness. The GIDP will be implemented from 2017 to 2021.

The programme is designed to encourage local authorities and citizens to work together by collaborating in the application of fiscal transfers to local administrations for priority service delivery; leveraging domestic capital and other sources for local economic development; expanding development partnerships at the national and sub-national levels to accelerate development with equity.

The three GIDP components are interrelated and designed to create a virtuous loop that promotes good governance and accountability as well as sub-national and national partnerships.

The first component will leverage the successful District Development Fund (DDF) model for the provision of discretionary, performance-based, district block grant financing for socio-economic infrastructure, e.g. health, education, agriculture, public works and transport and trade. DDF will catalyse cross-sector planning and responsive service delivery at the district level through the untied nature of DDF block grants and citizens' participation in setting local service priorities. The GIDP will upgrade the current DDF guidelines and introduce government co-financing from the state budget at the provincial level. GIDP also provides an opportunity to test and establish the potential for complementary approaches to financing for better local public service delivery and development unlocking private capital and non-government funding for development partnerships (in line with SDG 17).

The second component introduces an accountability framework to capture and use citizens' feedback on the provision of basic services and consolidates citizens' voice in local decision-making structures where service provision is discussed and managed. Activities under this component are designed to elevate the social inclusion of people who may not have been included in local governmental planning efforts in the past and to bolster the quality and use of information and data by governance structures, such as the new Peoples' Provincial Assemblies (PPAs). The institutional performance of districts will also be regularly assessed, as part of promoting a general shift to greater accountability and transparency.

The third component utilises partnerships at the national level (e.g. the GSWG) to promote dialogue and feedback on governance issues, advocate and influence governance-related policies and service delivery. Partnerships at the provincial level will also be strengthened, where the new Provincial People's Assemblies open up opportunities for better governance and citizens' engagement. The new Public Service Innovation Facility (PSIF) to improve the access and quality of basic services will also encourage proposals jointly made by local

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administration and civil society/NPAs<sup>4</sup> including Women, Youth, Disabled Persons' Organizations (DPOs), as a practical way of promoting partnerships and an enabling environment for non-government actors. GIDP strengthens inter-ministerial practical collaboration on public sector service provision through partnerships between a) MoHA, b) MPI, and c) MoF.

In summary, the programme reflects a strategic shift from grant-driven general infrastructure development to an intervention that seeks to leverage resources from various sources for addressing priority SDG service delivery, increased citizen and civil society engagement and facilitating multi-stakeholder dialogue and partnerships. As described above, the GIDP involves a mix of activities ranging from local capacity building, citizen and community feedback surveys, to targeted grants for capital and operational expenditure, and grants for collaboration with civil society on local service issues. Resources are to be mobilised from development partners, and complemented by resources of local authorities and potentially, domestic capital as well, thereby making local development sustainable.

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<sup>4</sup> NPA: Not for Profit Associations, in Lao context.

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## 2 SITUATION ANALYSIS

### 2.1 General socio-economic situation

Lao PDR has made impressive strides in economic growth with GDP growth rate averaging 7.5% since 2014<sup>5</sup>. Foreign Direct Investment (FDI) is in excess of 60% of the capital account, and Official Development Assistance (ODA) flows were over USD 1.6 billion between 2000 and 2013, helping to finance 8,404 projects across 29 sectors. Economic extraction of natural resource endowments in land, forests, minerals and water contributed to around 35% of total GDP and 20% of total revenue. Gross National Income (GNI) per capita grew five fold over that last decade and the Human Development Index moved to 0.569 in 2013, while people below the poverty line decreased from 46% in 1992 to 23% by 2013.

Nonetheless, tax revenues although reaching approximately 15.5% of GDP fall below the regional average by 5.75% (IMF Art IV 2015). Strains on public finances created by reduced revenues from the mining sector, increased civil service compensations limit sub national transfers, while capital expenditure is planned to rise to 8% GDP (2015-2016).

### 2.2 Disparities and inequalities

The impressive growth has masked disparities in income and inequality across the country (Two decades of rising inequality, Asian Development Bank 2015). The average per capita income in the northern region was US\$ 985 as compared to US\$ 1,680 in central regions in 2011-12 (World Bank Poverty Profile in Lao PDR: poverty report for the Lao consumption and expenditure survey 2012–2013). Rural-urban disparities are pronounced for children, with 82% of rural children suffering from severe deprivation as compared to 40% in urban areas. Poverty remains substantially higher in rural areas, at 28.6% compared to 10.0% in urban areas. The very poor (17% of the population) live in areas where infrastructure is particularly scarce. The poverty rates were highest among the Mon-Khmer and Hmong-Mien headed households with poverty rates of 42.3% and 39.8% respectively, almost double the national poverty rate of 23.2%. By 2012, 36% of the rural population had no access to improved sources of drinking water and 52% had no improved sanitation facilities, compared to 22% and 9% respectively in urban areas (IRIN Laos Urban-Rural WASH divide, 2014). An estimated 44% of children under five are stunted and some 27% underweight, gender inequality has fallen to 77 girls per 100 boys at tertiary level education.

Ineffective distribution of public and private sector investments in public services, coupled with inadequate citizen engagement and poor responsiveness to local concerns, have contributed to poor access to healthcare, nutrition services, clean drinking water and sanitation facilities, particularly affecting those from poor communities. A recent global UNICEF study found service outreach to the most excluded areas is 60% more cost effective in term of generating positive human development outcomes than focusing efforts on less remote/deficient area. In turn, capital investments in infrastructure and basic services are reported to provide better access to services

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<sup>5</sup> <http://www.worldbank.org/en/country/lao> <http://www.worldbank.org/en/country/lao>

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for the poor, but without sufficient recurrent funding for service delivery, the low volume and poor quality of services will render improved access a fruitless gain<sup>6</sup>. Whilst the Budget Law (2011 & 2015) has centralized revenues and expenditures, the formula for the equitable apportionment of revenues to sub-national government based on population, area and relative poverty has yet to be systematically applied across the country.

Addressing the restructure of the current system of inter-governmental fiscal relations in Lao PDR demands a clear and well-sequenced medium-term government strategy and implementation plan that is widely agreed and supported by the political establishments, and championed by the highest political leaders. The strategy would require a comprehensive review of the current structure of the central-provincial fiscal relations and refinement and clarification of the current functional assignments of revenue mobilization, tax administration and budget expenditure responsibilities shared between the central government, provinces and cities, districts and municipalities, and khumban (cluster of villages) and villages, both vertically and horizontally. Clarification of the definition and quantification of budget expenditure norms would provide an adequate system of estimation of expenditure needs at the sub-national levels of the government and allow improving the accountability and fiscal responsibilities of all levels of government (Refining Provincial Fiscal Owners: Fiscal Decentralization in Lao PDR, Georgia State University Economics Faculty Publication 2011).

## **2.3 Governance snapshot**

### **2.3.1 Devolution / decentralisation**

The 8<sup>th</sup> National Socio-Economic Development Plan (NSED) 2016-2020 acknowledges the link between greater devolution and local governance to achieving more sustainable and inclusive growth. This is further evidenced in the emerging Sam Sang policy framework that promotes fully functional local administration equipped to plan, budget and deliver local public services with greater budgetary discretion and revenue responsibilities. At the same time, the 2015 constitutional revisions and updates to the Law on Local Administration and Law on Government have aimed to provide a clearer separation of powers such as establishing Peoples' Provincial Assemblies, and clearer mandates, roles and responsibilities of different levels of government and public administration. While the Strategic Plan on Governance 2010-2020 has yet to be formally endorsed, it nevertheless provides the overarching framework for governance reform in Lao PDR. This strategy combined with policies such as the Sam Sang devolution initiative and updates to the legal and administrative frameworks constitute de facto governance vision and strategic directions for Lao PDR. The underlying principle of government policy suggests *government mechanisms and local administration must become better able to manage and implement local economic development and priority service delivery with a greater level of financial, administrative and representational self-reliance, and provide for greater engagement and responsiveness to citizens' needs and concerns.*

The piloting of the Sam Sang policy initiative 2012-2014 has shown signs of effectiveness; routine procedures and service delivery appear to be matched with clearer delegation of authority (*Sam Sang*

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<sup>6</sup> MAF OEBG Sub-Project Review 'Operationalising the Lao PDR SDG Acceleration Framework (MAF) through sub national administrative Initiatives' page 5, UNCDF and UNDP, Laos. 2012. Research quoted from UNICEF global study



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*Pilot Steering Committee Report, 2014*). Furthermore, revenue collection supposedly increased two to three fold, with the management of public expenditure reported as more efficient by government officials. While there is steady progress in administrative and representational devolution, progress on fiscal decentralisation is continuing at a more cautious pace, probably due to the challenging overall macro-economic situation and in particular the pressures on the Current Account deficit. The 8<sup>th</sup> NSEDP forecasts national revenue to climb to 19-20% of GDP. Overall expenditure is forecast to be not more than 25% of GDP. The government will strive to ensure that the budget deficit is not higher than 5% (which is still generally regarded as relatively high level). The Budget Law 2015 amendments continued to assign central and province levels as budget holders. Districts have increased budget sign-off authority but were not given budget holder on this occasion.

### **2.3.2 Funding the 8<sup>th</sup> NSEDP**

The 8<sup>th</sup> NSEDP budget for 2016-2020 is estimated at US\$ 27 billion, of which State budget (11-12%), public investment (23-28%), external grants and loans (12-16%), domestic and foreign private sector investment (54-58%), and bank credit (19-21%). Development fund mobilisation policy aims to provide a basis for socio-economic infrastructure development in line with the socio-economic development plan and to create an enabling environment to attract domestic and foreign investments and ODA. Sourcing private capital for those local investments that can potentially service and repay the liability (e.g. from user service fees etc.) is an area largely unexplored at sub-national administration. Private capital is a potential future source of investment that could be used for development through the formation of strategic partnerships with banks and other investors (Financing for Development Addis Ababa Action Agenda; MPI, 2010, Foreign Aid Implementation Report).

### **2.3.3 Participation**

In terms of participation, Laos has various channels and forums for people's participation. These range from indirect participation through representative institutions such as the National Assembly (NA), to the approved Party mass organisations (Lao Youth Union (LYU) and Lao Women's Union (LWU)) and formal business associations (LFTU: Lao Federation of Trade Unions). Over the past five years, the NA has provided oversight of public services and aspired to increase people's participation in the decision-making process. A constitutional amendment adopted at the Ordinary Session in December 2015 paves the way for establishing Peoples' Provincial Assemblies and changing the political landscape at the local level. The 2009 Decree 115 on Associations also marks an important step in the formal recognition of Non-Profit Associations (NPA) as partners in development. These organisations are primarily engaged in community development activities rather than advocacy, and they are still working to establish their operational space and to engage in meaningful policy dialogue at the sub-national and national levels; NPA's participation in the Governance Sector Working Group (GSWG) and Round Table Meetings is seen as movement in a positive direction. Although Lao PDR has amongst the highest proportions of women in national parliaments in the region, women's representation is still very low at district and village levels. There were only 145 women village chiefs from the total of 8,651 villages (2%). Thus, improvement of women's participation in village development is critically important.

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## 3 PROGRAMME STRATEGY

### 3.1 Theory of change

Figure below shows the Programme Logic and the linkages between the development challenge and the immediate/ root causes. Further details are in Annex.

### 3.2 Policy Framework

The Governance for Inclusive Development Programme (GIDP) responds to the UNPF 2017-2021, which prioritises three broad thematic areas for the next implementation phase a) Economic Development, b) Governance and c) Resilience. The programme design has been informed by the UN Country Analysis Report (2015), and it feeds into Outcome 7 of UNPF 2017-2021 and Outcome 3 of UNDP Country Programme Document (CPD) 2016-2020, *'institutions and policies at national and local level support the delivery of quality services that better respond to people's needs.'*

This GIDP is aligned to the cross-cutting governance goals of the 8th NSEDP 2016-2020, which has LDC graduation as its primary goal. The draft Strategic Plan on Governance 2010-2020 provides the overarching framework for governance reform in Lao PDR. This strategy combined with policies such as the Sam Sang devolution initiative and updates to the legal and administrative frameworks constitute de facto governance vision and strategic directions for Lao PDR. The underlying principle of government policy indicates that government mechanisms and local administration must become better able to manage and implement local economic development and priority service delivery with a greater level of financial, administrative and representational self-reliance, and provide for greater engagement and responsiveness to citizens' needs and concerns.

GIDP also draws on the vision 2016-2030 and strategic plan 2016-2025 of the Home Affairs sector developed by MoHA. The overall context, tone and direction are summarised thus – *"As good governance plays a vital role in economic development and sustainable poverty reduction, the government is committed to strengthen governance and public administration reform initiatives to graduate from the Least Developed Country status by the year 2020. Furthermore, the regional and global integration of Lao PDR particularly to the ASEAN (Association of Southeast Asian Nations) Economic Community in 2015 proves to be a significant milestone and yet a challenge for the governance system of Lao PDR to improve its country wide administration to build trust of its constituents and the international community. For these reasons, governance and public administration reform in the government's programmes and initiatives are a priority<sup>7</sup>."*

The MoHA strategic plan identifies how the vision will be achieved through (1) governance and public administration improvement, (2) civil service management improvement, (3) governance practices/techniques improvement, (4) improvement of system and mechanisms for public service delivery, and (5) effective international cooperation on home affairs.

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<sup>7</sup> Minister for Home Affairs' introduction letter to Vision and Strategic plan for Home Affairs sector

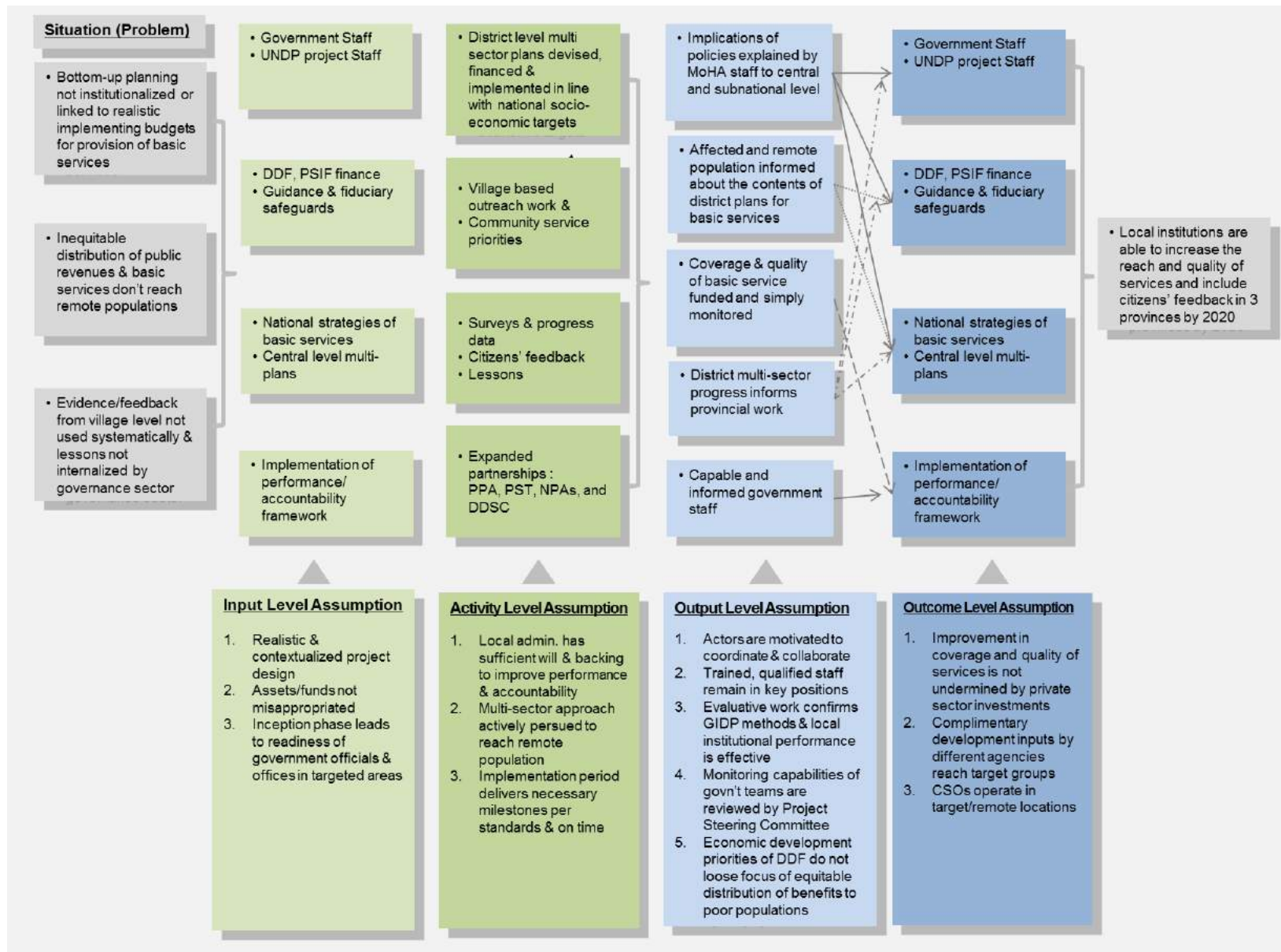


Figure 1 GDP Theory of Change  
 (Legend- solid and dashed lines: relationship between outputs and the outcome level is not linear or one directional)

### **3.3 Programme Approach and Programme Logic**

#### **3.3.1 Inclusive design process**

The programme has emerged from an inclusive design process between government, UN agencies, development partners and civil society, beginning with an independent evaluation of the GPAR programme (Laraburre et al, 2014).

#### **3.3.2 Lessons**

The lessons from the NGPAR Programme indicate that the mechanisms it promoted can have a significant and scalable contribution to enhancing inclusive service delivery and local development. Being a programme that emphasises strengthening and financing district authorities, GPAR has emerged as a strong platform to deepen the engagement between communities and the local authorities, and to continue to move towards fiscal decentralisation and self-reliant local development. GPAR has pioneered and demonstrated deeper reflection on local development priorities and plans, and in channelling greater financial support from the state budget for expanding local infrastructure and delivering services.

With a programme footprint that is operational in nearly half the districts of the country and which leverages MoHA's downstream offices at the provincial and district levels, the NGPAR programme offers an effective platform to roll out well-targeted interventions in selected districts. These can make definitive contributions to enhancing inclusive service delivery and local development and to increasing dialogue and collaboration between citizens and state for more effective service delivery.

The experience of District Development Fund (DDF) show that when provided with the opportunity and financing, the sub-national governments take the responsibility to design, innovate, problem solve and support their teams to perform in participatory processes and can provide better services as a result. The DDF has proved to be excellent approach to enhancing local services while simultaneously strengthening public administration and governance system. The DDF experience across 53 districts of 7 provinces and the 2016 Stocktake of Local Participatory Planning Processes have yielded a key lesson on the crucial role of fostering incentive and providing capacity development support to local officials as a key element in improving service delivery. The DDF has performed well contributing to the Government's efforts to increase the volume of sub-national fiscal transfers and their predictability.

GIDP acknowledges a number of lessons from the DDF that will be duly applied. These include

- a) entrusting district teams with financial resources to implement district plans with their staff/village communities,
- b) providing appropriate learning opportunities suited to government officials working in Laos such as 'learning by doing'
- c) Success of applying appropriate fiduciary safeguards for disbursement of funds to district administration as contained in the existing DDF guidelines
- d) Shifting from a supply-driven approach to a demand-driven one, where programme supports (e.g. DDF, PSIF) are used to increase motivation in sub-national offices and to encourage self-reliance at the local levels, as advocated under Sam Sang policy.

Further details on specific lessons being taken forward within GIDP are tabled in the Annex.

### 3.3.3 GIDP design

The GIDP supports the government’s strong desire to strengthen its public administration’s ability to achieve the goals of better service delivery, promote wider governance improvements and increase citizens’ systematic engagement, especially at the local levels where basic services are coordinated, planned, tracked and reported. Hence, the programme uses a Human Rights based approach since it seeks empowering people (right holders) to realize their rights of accessing basic public services at the provincial level, while supporting the Government (duty bearer) to strengthen its capacity in terms of public service delivery in the targeted areas.

The GIDP will act as a platform for providing tools and scalable learning that encourage more inclusive service delivery and local development, which benefits a wide section of Lao people. The linkage to national partnerships and the GSWG provides the opportunity for national policy advocacy and discussions on the progress of the GPAR GIDP and on governance matters in general.

The GIDP has been formulated under the framework of the National Governance and Public Administration Reform Programme (NGPAR) of the Government of Lao PDR (GoL), with MoHA to lead the implementation, with formal cross-sector cooperation and implementation by MoF, MPI, and provincial and district administrations. This programme is responsive to the growing emphasis on the need for multi-sector planning and the use of data/information to inform the content, nature and scope of district plans. At the same time, this programme also systematically captures villagers’ perception on access and quality of basic services, and promotes opportunities for collaboration with civil society in local development and services.

The three GIDP components are interrelated and designed to create a virtuous loop that promotes good governance and accountability as well as sub-national and national partnerships and policy dialogue.

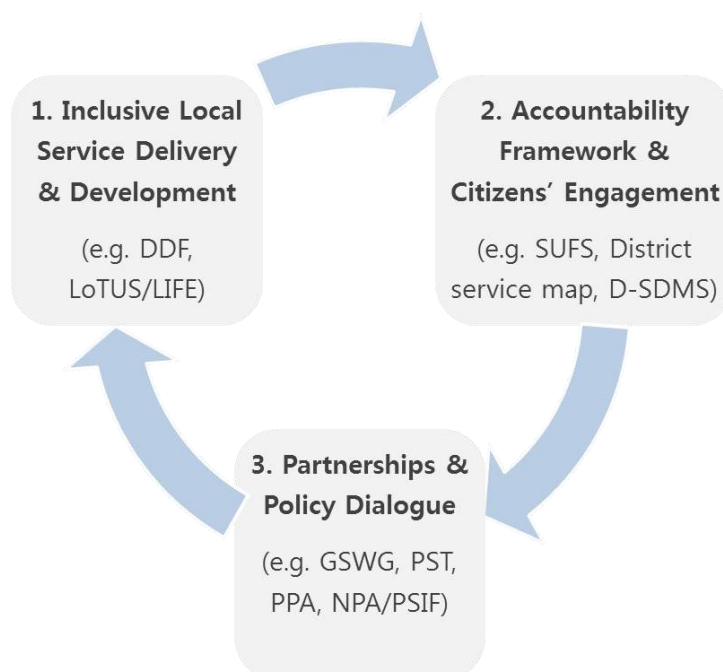


Figure 2 GID Virtuous Loop - Outputs

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## **Output 1**

The first component continues to use DDF modality, which is a GPAR tried and tested model for the provision of discretionary block grant financing for prioritised social economic infrastructure. It also catalyses cross-sector planning and service delivery at district level through the untied nature of these DDF block grants. During the first 6 months inception period, the GIDP will upgrade the current DDF guidelines to, inter alia; include government co-financing of selected infrastructure; move to a more demand-driven approach taking into account governance factors such as the capacity and motivation of individual sub-national administrations to improve the lives of their citizens through responsive service delivery; strategically positioning the DDF as a seed capital for leveraging increased financing for local development as well as public service delivery by exploring opportunities for aligning and coupling with other available funds (e.g. Poverty Reduction Fund (PRF)). Sourcing private capital for local services is an area largely unexplored at sub-national administration and GIDP provides an opportunity to test and establish the potential for complementary approaches to funding better local services and development with private capital and non-government funding (in line with SDG 17).

The Sam Sang directive represents a significant policy change as an approach to decentralized administration requiring wide-ranging reforms on public administration functional assignments. The Sam Sang directive proposes provinces as the strategic unit, districts as the integration unit, and villages as the development unit, specifically acknowledges the role of the private sector in delivery of rural development and poverty eradication targets – especially through livelihoods and enterprise investments. At the subnational level, there is yet very limited experience in negotiating arrangements for effective private sector investment for development, and growing need for the private sector deal-making capacity at provincial and district levels, particularly in the offices responsible for planning and rural development. This could include identifying opportunities for private sector engagement, preparing clear information to attract private investors, and ensuring appropriate enabling regulations are in place (Sam Sang in Practice: Early Lessons from Pilot Implementation, Laos-Australia Development Learning Facility, December 2015). UNCDF’s Local Transformative and Uplifting Solutions (LoTUS)/Local Investment Facility (LIFE) is a proven investment financing mechanism to unlock domestic capital for small-scale local infrastructure projects. The GIDP will provide an opportunity to test and establish the potential for LoTUS type of alternative financing mechanisms to provide better local public services and development.<sup>8</sup>

## **Output 2**

The second component introduces an accountability framework to capture and use citizens’ feedback on the provision of basic services and integrates citizens’ engagement in local decision-making structures where service provision is discussed and executed. Activities under this component are designed to elevate the social inclusion of people who may not have been included

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<sup>8</sup>Local Transformative and Uplifting Solutions (LoTUS)/Local Investment Facility (LIFE): GIDP will allow the Government to examine and test out a demonstration activity that will use LoTUS/LIFE mechanism of UNCDF to unlock domestic or sub national finance for local infrastructure development. This activity will be limited within GIDP but will pave the way for the “scale up” of such financing mechanisms that will directly link to the upgraded DDF via the UNCDF Regional Programme on LoTUS/LIFE and the UNCDF Global Programme on Local Climate Adaptive Living Facility (LoCAL). For details, please refer to Annex. Technical Note on UNCDF Financing Mechanisms and Global and Regional Programmes – LoTUS/LIFE and LoCAL.

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in local governmental planning efforts in the past, and to bolster the quality and use of information and data by governance structures such as the Peoples' Provincial Assemblies (PPAs). The institutional performance of districts will also be regularly assessed, as part of promoting a general shift to more accountability and transparency. GIDP will use a low-cost Service User Feedback Survey (SUFs) to directly capture, synthesise and record citizen's perception on the status of services delivered through costed district level plans (i.e. quality, relevance, coverage). SUFs analysis will be sex, age, disability, and ethnicity disaggregated to assist local administrations to allocate resources based on evidence (e.g. rates of maternal mortality,). SUFs will avoid duplication with other development feedback systems in all of the GIDP target districts, including PRF, and seek to share information where feasible.

### **Output 3**

The third component utilises partnerships at the national level (e.g. the GSWG) to promote policy dialogue and feed into good governance related policies including the delivery of basic services. Partnerships at the provincial level will also be strengthened, where the new PPAs open up better governance opportunities. Based on the findings from the evaluation of GPAR-SCSD (Strengthening Capacity and Service Delivery of Local Administrations Project)<sup>9</sup>, GIDP will recast the existing Capacity Development and Modernisation Fund (CADEM) to become a new Public Service Innovation Facility (PSIF). PSIF will fund activities to address chronic bottlenecks in the provision of local services, or to address a specific service problem or priorities and generally improve the quality, relevance and an alignment of basic services. PSIF will also encourage proposals that have a multi-sectoral approach and proposals jointly made by local administration and civil society/NPAs including women, youth and disabled people's organizations, as a practical way of engaging the wider community and administration in local service improvements, and building a positive working collaboration and helping to promote an enabling environment for non-government actors (see Annex on PSIF). GIDP strengthens inter-ministerial collaboration on public sector service provision through partnerships between a) MoHA, b) MPI, and c) MoF.

In summary, the programme reflects a strategic shift from grant-driven general infrastructure development to an intervention that seeks to leverage resources from various sources for addressing priority SDG service delivery, increased citizen and civil society engagement and facilitating multi-stakeholder dialogue and partnership. As described above, the GIDP involves a mix of activities ranging from local capacity building, citizen and community feedback surveys, to targeted grants for capital and operational expenditure, and grants for collaboration with civil society on local service issues. Resources are to be mobilised from development partners, and complemented by resources of local authorities and potentially, domestic capital as well, thereby making local development sustainable.

### **3.4 Gender and ethnicity inclusion**

MoHA and GIDP is fully seized with mainstreaming gender into all GIDP initiatives, guidelines, innovations etc. as a practical and cost-effective way of institutionalising good gender practices

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<sup>9</sup> Laraburre et al, 2014

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within the national and sub-national administration. Based on lessons from NGBAR-SCDC, this programme will develop a simple-to-use Gender and Inclusive Action Plan jointly with MOHA to ensure that gender equity and inclusion are understood and implemented in programmatic, rather than conceptual / abstract terms. Preliminary elements for a gender and inclusive action plan are included in Annex, and are likely to include building the gender mainstreaming capacity of the Commission for the Advancement of Women in MoHA. The Cabinet Office will coordinate with the GPAR team to implement this programme activity. Other key programme interventions may include specific affirmative action for women and ethnic staff in leadership positions, gender training for all MOHA Staff, review of government staff guidelines; improvement of gender mainstreaming manual; improvement of recruitment policy and support for Civil Service to encourage more women and ethnic candidates; review of the strategic plan on Gender; enhancement of the monitoring and reporting templates to adequately capture sex, age, disability, and ethnicity disaggregated profile of implementing organisations, as well as for participants and beneficiary groups.

### **3.5 Sustainability**

The programme is aligned to the overarching strategic framework for governance reform in Lao PDR and to emerging government devolution protocols, Sam Sang policy implementation, and to the recently established Provincial People's Assemblies, as well as with existing government planning systems. GIDP also draws on the vision 2016-2030 and strategic plan 2016-2025 of the Home Affairs sector developed by MoHA. The programme also taps into MoHA secretariat support to the Leading Committee, chaired by the Deputy Prime Minister, and provides guidance and assures alignment of GIDP and governance reforms with government vision and policies.

The existing UNDP/UNCDF supported GPAR programme has a well-established working relationship with MPI and MoF, both of which will be involved in the implementation of GIDP and will be involved in formalising collaboration for the new GIDP, during the 6-month inception phase of GIDP. Senior management of MoHA are also keen to be part of a programme and to contribute to national efforts of transitioning from least developed country (LDC) status, and to be supported in MoHA's contribution to the 8<sup>th</sup> NSEDP, which has LDC graduation as its goal.

GIDP uses a cost sharing modality that involves MOHA staff time, MoHA financial contribution to support the implementation of the GIDP and additionally, has a co-financing requirement from the State Budget to begin to fund DDF service district investments in 9 districts to promote joint ownership of financially supporting this programme.

GIDP will also ensure the relevance, quality and sustainability of the public investments/service infrastructures through a combination of

- a) disaggregation of investments provided by sex, age and ethnicity within the DDF reporting requirements;
- b) citizens survey results on local services (SUFS) measures (disaggregated by sex, age, disability, and ethnicity) of:
  - i. Coverage – geographic & demographic
  - ii. Ease of Access - geographic & demographic
  - iii. Availability – quantum & frequency



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- iv. Transparency – knowledge of service entitlements and standards
  - v. Accountability – mechanism for feedback and response to problems
- c) putting in place practical O & M arrangements, to maintain and prolong the usable life of the district service investments provided under GIDP.

An actionable exit plan will be produced jointly with MoHA to encourage senior management to continue to apply management practices that are evaluated as relevant and effective for the reform of public administration. There will also be a phased reduction in external support (and a corresponding reduction in overhead costs of this programme) as more skills and responsibilities are transferred to MoHA staff from GIDP.

### **3.6 UN Joint Programme and Multi-Stakeholder Partnerships**

#### **3.6.1 Participating UN Organizations – Comparative Advantages of UNDP and UNCDF**

UNDP and UNCDF will continue their joint programme support to create added-value for achieving the overall objectives of the programme. The proposed intervention draws on UNDP's recognised core mandate in the areas of capacity development, democratic governance and policy development, which synergises with UNCDF's specialised expertise in local development, improved access to social services, investment capital, and fiscal decentralization. In addition, UNDP's operational capacity in Lao PDR, combined with UNCDF's in-house technical capacity, will further support this delivery model.

UNDP will take the lead in supporting the Government for the implementation of activities related to the promotion of democratic governance, local governance, participatory development, capacity development and women empowerment. Where technical areas overlap with the areas of expertise of UNCDF, UNCDF will provide technical support as required, in particular in terms of international technical assistance.

UNCDF, given its specific capital investment mandate, will ensure support to Inter-Governmental Fiscal Transfers (IGFT) and overall fiscal decentralization aspects, and the development and delivery of performance based grant systems to local government Institutions (DDF). This support will also entail overall support to Public Expenditure Management (PEM)/Public Finance Management (PFM) systems and policy promotion related to these areas. Where technical areas overlap with the areas of expertise of UNDP, UNDP will provide technical support as required.

#### **3.6.2 The Rationale for having two senior international technical advisors**

The three outputs of the GIDP being interrelated and designed to create a self-reinforcing loop that promotes good governance and accountability as well as district/provincial partnerships and national partnerships can be basically divided into two core streams of operation; (i) grants support and (ii) policy support and capacity development. In this context, the GIDP will utilise two senior international technical advisors accordingly; (i) a governance specialist to provide overall project coordination and lead on policy and capacity development elements and (ii) a local government financial specialist to support the upgrade of the DDF to be in line with the State Budget Law 2015 and provide technical inputs to enhance the predictability and transparency of subnational government fiscal transfer mechanisms.

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Within this context, the governance specialist will have a dual role whereas the position will be responsible for project management and administrative works as well as technical, placing a high level of demand on to this position. As can be determined, each senior international advisor will need to carry different skill sets to ensure that quality services are provided by UNDP and UNCDF. The designated positions will additionally support greater levels and more rapid achievement of technical skills transfer to the national government.

Since one of the GIDP core outputs will be the DDF grants, a dedicated senior advisor will not only assure quality of service delivery but additionally provide value added to the GIDP as new challenges related to DDF upgrade and legislative and policy alignment emerge.

A standard technical transfer approach will be adopted for the positions that plans for the continuous reduction of time based international inputs thus facilitating and driving technical and operational transfer. Whereas more or less 100% input for both positions will be provided at the start of the programme cycle, these will be reduced to 20% towards the end of the programme cycle to assure quality impact monitoring and on-demand technical support to address any shortfalls or delays in project implementation and reporting.

### **3.6.3 Multi-Stakeholder Partnerships for Coordination and Policy Integration**

The Strategic Plan on Governance 2010-2020 calls for creating and improving the coordination system between the Government agencies at the central and local levels to enable discussion and agreements on clarification of shared functional responsibilities in the areas of planning and budgeting, resources allocation, assigning expenditures and civil servants and all other aspects of public administration, while being based on the principle of democratic centralism, unified leadership and de-concentration put forward by the Government.

GIDP will supplement the Government's efforts to enhance the present processes of integrated socio-economic development planning, budgeting and implementation (PFM cycle) that effectively link policy and public budget expenditures between the central and local levels taking advantage of the newly emerging PPAs and the new Budget Law in 2015. The upgraded DDF mechanism, to be developed under GIDP, will demonstrate and institutionalise new processes that enhance both vertical and horizontal coordination and policy coordination of the sector ministries and the Government institutions involved.

Built on the established partnerships under the GPAR-SCSD 2012-2016, GIDP will support MoHA, as the Implementing Partner, to establish a robust coordination mechanism for deeper cross ministry policy dialogues and inclusive knowledge sharing that complement the activities of the sector-working groups (SWGs). GIDP will facilitate strengthening working relations between a) MoHA - improve the efficiency and effectiveness of local administrations; b) MPI - improve the quality and impact of planning; c) MoF - allocate and report on funding for public sector service provision; d) other sector ministries and the Government offices, including but not limited to the Ministry of Natural Resources and Environment (MONRE) and Lao Statistics Bureau (LSB); and e) the sub-national governments of provinces and districts and local organizations.

The Poverty Reduction Fund (PRF) has many similarities with DDF and there are clear opportunities for collaboration at local level, while also moving towards greater alignment and integration with

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government systems,<sup>10</sup> processes and staff, – as per Vientiane Declaration on Partnership for Effective Development Cooperation II (VD II). During the inception phase, GIDP will explore with PRF geographic coverage, and areas of practical collaboration, for example, possibility of some of PRF funds being allocated to support the continuation of DDF, especially the Operational Expenditure Block Grants (OEBG), with the intention of strategically linking local services outreach administered by the local authorities to the community development approach carried out by the PRF, thus establishing a closer relationship between the two financing mechanism.

GIDP works with other UNDP projects such as the Support Programme to the ‘Legal Sector Master Plan’ (i.e. rule of law and access to justice) and the National Assembly Strategic Support Project (i.e. governance). These project partnerships offer wider policy support and convergence of policy discussions in implementing districts, as well as harmonization of development work required by the VD II. It is anticipated that the programme will work in collaboration with a new EU/SDC bilateral project, CEGGA<sup>11</sup> which is currently being discussed with government, and which includes governance and public service improvement topics (refer to Annex for stakeholder environment).

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<sup>10</sup> The 2016 Stocktake of Local Participatory Planning Processes in Lao PDR provides a basis to engage in evidence-based dialogue for harmonisation

<sup>11</sup> CEGGA: Citizen Engagement for Good Governance, Accountability and Rule of Law

## 4 RESULTS

### 4.1 Expected Results

The GIDP has been formulated under the framework of the NPGAR programme of the GoL, with MoHA to lead the implementation, with cross-sector cooperation and implementation by MoF, MPI, and Provincial and District administrations.

The GIDP supports the government's strong desire to strengthen its public administration's ability to achieve the goals of better service delivery, promote wider governance improvements and increase citizens' systematic engagement, especially at the local levels where basic services are coordinated, planned, tracked and reported. The GIDP will act as a platform for providing tools and scalable learning that encourage more inclusive service delivery and local development, which benefits a wide section of Lao people. The linkage to national partnerships and the GSWG provides the opportunity for national policy advocacy and discussions on the progress of the GPAR GIDP and on governance matters in general. It is also expected that the gender mainstreaming capacity of MOHA will be improved.

As explained in the preceding Chapter 4, the three GIDP components are interrelated and designed to create a virtuous loop that collectively achieve these objectives. The specific GIDP outcome is that:

***“Local institutions are able to increase the coverage of basic services and include citizens’ feedback in the planning cycle for services provision by 2020.”***

The following Outcome level results are expected to be achieved over a four-year programme period:

- 235,000 additional households receive two or more basic services<sup>12</sup> from their district, attributable to GIDP
- 36,750 people give feedback (by sex, age, disability, and ethnicity) on services received due to new citizens' responsive mechanisms
- 376 district level multi-sector and participatory annual service project plans will be implemented as planned (based on the local service needs prioritised by community)
- Partnerships for national policy advocacy and discussions feed into governance related policies and service delivery

The targeted provinces will be identified during the 6-month programme's inception period, which is further described in the programme document (Section 4.2 Inception Period). The identification process will be mainly based on field visits, existing needs assessments conducted by MoHA and UNDP and data analysis of local administration centered existing mechanisms.

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<sup>12</sup> Basis services: Community prioritised local services, as defined in DDF Guidelines, viz. Health (e.g. clean water / sanitation, clinics, outreach health services etc.); Education (Schools, promotion, inspection/standards, etc); Agriculture (e.g. irrigation, technical visits/instruction, outreach services, etc.); Public Works (e.g. Access via local bridge & road, markets, outreach services & community-based maintenance, etc)

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**Output 1: Targeted local administrations are able to develop and finance the implementation of multi-sector work plans based on community priorities****Output Indicators:**

- 1.1 Number of district multi-sector project work plans co-financed by the government
- 1.2 Percentage of district administration offices that use upgraded project management tools for better planning and budgeting of basic services
- 1.3 Number of district annual progress reports completed per expected standard<sup>13</sup>
- 1.4 Number of LoTUS/LIFE investment pipeline identified, developed and implemented

The set of activities proposed under Output 1 are designed to update, implement and oversee the management of local financing (of basic services) through the DDF modality. In practice, the DDF modality does not consistently or systematically apply gender sensitive budgeting. Similarly, DDF resources are not systematically allocated in response to off-track SDGs or aligned to the annual planning cycle of the government to help districts manage the delivery of services in tandem with their annual budgets. The following set of activities therefore promotes the use of DDF guidelines and basic management tools so that district plans are inclusive, well prepared, costed and reported on. Climate resilience will be mainstreamed within the design parameters of local DDF plans; persons with disabilities will be also taken into account, particularly in local communities that are affected or impacted by UXO.

**Indicative activities under Output 1**

- 1.1.1 Upgrade and implement DDF system, guidelines and manuals (i.e. Standard Operating Procedures), - to respond to a demand-driven approach, gender sensitive approach and co-financing from state budget, and to include strengthened provincial governance (e.g. plans approved & overseen by new Provincial People's Assemblies (PPA)).
- 1.1.2 Select high priority basic service per district through District Development Support Committee, develop a co-finance budget for each capital/construction-related grant through use of updated DDF guidelines, and submit co-financed budget to MPI and MOHA/MoF.<sup>14</sup>
- 1.1.3 Approve and award DDF non-capital service grants based on evidence of need and status of off-track SDGs (Digital Service Map, and/or other research in targeted provinces).
- 1.2.1 Set up and maintain standardised record system which shows a paper trail of basic services planned for, funded and delivered through DDF (i.e. district teams submit correct forms to District Governors' office that are accessible for monitoring purposes by MoHA, MPI and/or MoF).
- 1.3.1 Collate and report quantitative progress data from line departments on DDF services granted and delivered in target villages, every quarter during District Chief meetings. Disaggregate data by sex, age and ethnicity.

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<sup>13</sup> Expected standards for reporting by districts will include simple and descriptive gender and social inclusion analysis

<sup>14</sup> DDF grants flows from MoF and release signed by Deputy District Chief, Head of District Finances, Head of District Planning and Investment

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1.4.1 Conduct feasibility / pilot private capital finance for local administration services investments (LoTUS/LIFE).

1.5.1 Design, develop and demonstrate model One Door Service Centres, which incorporate service level benchmarking, process reengineering and responsive to citizens' feedback framework.

## **Output 2 Accountability framework applied at the district level to capture and use citizens' feedback on provision of basic services**

### ***Output Indicators***

- 2.1 Number of district administrations that use District Service Data Analysis (Excel) Sheet<sup>15</sup> (DDAS) to analyse rate of multi-sector service provision
- 2.2 Number of districts applying the SUFS/PAPI<sup>16</sup> based service user feedback survey<sup>17</sup>
- 2.3 Percentage of districts' plans that incorporate citizens' feedback for costed planning
- 2.4 Number of districts that implement district administration performance assessment mechanisms (PAM)

The following set of activities are designed to bolster the quality and use of information and data by governance structures such as the People's Provincial Assemblies (PPAs), Provincial Support Team (PST), GSWG and local administrations- including the District Governors' Office. Lessons from Service Users' Feedback System (SUFS) under the current GPAR programme highlight the importance of providing prompt technical and follow-up coaching to District Home Affairs (DOHA) teams tasked with making sense of data compiled by the District Statistics Centre. DOHA teams struggled with the pilot exercise and to produce the type of information needed for report to district chief (and in future for PPA). Report templates were provided to DOHA but teams reverted to using very simple descriptive analysis or submitting incomplete reports to GPAR. The use of statistics / information for planning / budgeting purposes is still a novel idea in some district teams and will require ongoing support, as provided for under GIDP. GIDP will integrate guidance on 'next steps for using data' as part of the lessons learning workshop after data analysis has been completed and as part of the DDAS piloting process. Activities outlined under output 3 link the use of information generated through output 2 for policy work and for accountability purposes.

### **Indicative activities under Output 2**

- 2.1.1 Refine the GPAR - D-SDMS tool to develop 'DDAS' including the production of a 'Gender and Social Inclusion Action Plan and Performance Standards.'
- 2.1.2 Pilot test and report on DDAS in 2 districts (scoping meeting with other line ministries to ensure tool adds value and avoids duplication of data analysis).

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<sup>15</sup> Based on revised District Service Delivery Monitoring System (D-SDMS) that has been piloted under GPAR SCSD project 2012-2016

<sup>16</sup> Public Administration Performance Index (PAPI)

<sup>17</sup> GPED teams and the District Governor's office will be coached to oversee the use of survey information which priorities related to gender and social inclusion.

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- 2.1.3. Present findings from DDAS to selected districts (20-24 districts), three PPAs and the GSWG.
  - 2.1.4 Introduce DDAS to remaining targeted districts.
  - 2.2.1. Refine SUFS and adapt the PAPI tool to capture community feedback. Compile the data for an annual report, which is submitted to PST and PPA.
  - 2.2.2 Use participatory techniques and inform communities which basic services will be delivered in their villages/districts as per costed and approved district multi-sector plan (commission an agency).
  - 2.2.3 Design, conduct and report on the findings of the Digital Service Mapping exercise to record real-time data on current services in 9 districts.
  - 2.4.1 Scale up the use of PAM in nine districts and complete all preparatory work to conduct and disseminate the results from PAM to GSWG, nine District Chief Offices, three Provincial Governor Offices and the GSWG
  - 2.4.2 Monitor the rate of service user feedback (PAM/SUFS) used by PPAs in targeted provinces.

**Output 3: Enhanced multi-stakeholder governance processes promoting dialogue and feeding into good governance related policies including the delivery of basic services**

***Output indicators***

- 3.1 Number of new multi-stakeholder policy discussions facilitated under the GSWG to advance governance and gender issues at the national and provincial levels
- 3.2 Number of Public Service Innovation Facility (PSIF) proposals that promote partnerships between local administrations and NPAs for improved service delivery<sup>18</sup>
- 3.3 Percentage of new public administration policies and regulations that incorporate gender equality measures

Provincial Support Teams (PST) are chaired by Vice-provincial Governors and draw membership from a range of interests that currently include cross-sector officials and committees such as LWU and LYU. PSTs currently operate in 7 provinces, they are mandated to provide planning guidance to districts as well as to oversee the implementation of DDF. The opportunity now exists to build upon this established base and for PSTs to broaden the range of people, including civil society, who can participate in PSTs and accurately vocalise community priorities. The advent of Provincial People's Assemblies also opens up the possibility of developing a good working relationship with PSTs, where the latter can assist the PPAs with user-friendly information on local needs and level of local services, while the PPAs can exercise their mandate as the elected representatives of local people, particularly, in the context of GDP, on services delivery oversight and delivery shortcomings.

PPAs and PSTs require reliable, user-friendly and valid data/information to gauge the quality and efficacy of service provision and administrative performance under each province. However, the

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<sup>18</sup> New PSIF guidelines will include positive action on social inclusion/equity and encourage NPA participation.

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flow of information from the district and province level in a reliable, simple and useful format will create a challenge for both PPAs and PSTs to fully exercise their mandate. PSTs will be the first point of reference and a conduit of data and information to inform the implementation of policies and national strategies (e.g. use of information from SUFS, Data Maps, PAPI and PAM).

Similarly, the GSWG relies on credible information to understand the progress of public sector governance at a national level and whether policies are being implemented as envisioned. The programme will support MOHA to convene meetings and support a flow of information from district level upwards through PPAs, PSTs, development partners and other stakeholders.

The GIDP theory of change suggests citizens are better placed to give feedback when they themselves are informed about services to which they are entitled. In light of this information, the new Public Service Innovation Facility (PSIF) guidelines will also favour proposals from NPAs - including women, youth, and disabled people's organizations - that are positioned to assist in closing this gap in outreach services at the village level. Feedback on services received will be on the quality, timeliness and/or relevance of basic services received at the village and kumban level where the delivery of basic services are meant to converge. PSIF will also encourage proposals that have a multi-sectoral approach and proposals jointly made by local administration and civil society/NPAs, as a practical way of engaging the wider community and administration in local service improvements partnerships, and building a positive working collaboration and helping to promote an enabling environment for non-government actors.

Based on lessons from NGPAR-SCDC, this programme will develop a simple-to-use Gender and Inclusive Action Plan jointly with MOHA to ensure that gender equity and inclusion are understood and implemented in a programmatic way. Thus pro-gender will be in-built across all three Outputs and budgeted as part of the M & E / Gender plan/activities of each Output, as appropriate. The specific indicator will focus on the number of gender tools and guidelines developed and tested and the percentage of new public administration policies and regulations that incorporate gender equality measures.

### **Indicative activities under Output 3**

- 3.1.1 Convene, monitor and report on Governance Sector and Sub-Sector Working Groups according to annual plan. Analyse number and type of different stakeholders in attendance. Synthesise information in preparation for annual roundtable meetings (e.g. produce a list of policies/governance issues which GSWG will discuss every year).
- 3.2.1. Design and implement PSIF Management Guidelines and Manual in English and Lao Language (e.g. awards criteria, process and procedures, fiduciary safeguards, list of priority groups and villages targeted for off-track SDGs).
- 3.2.2. Orientation on PSIF competitive bidding process, award the grants using guidelines, monitor the use of PSIF and discuss lessons annually.
- 3.2.3. Support MoHA in development, consultation and dissemination of local governance policy as well as decrees and regulations.



- 3.3.1. Support MoHA in developing gender mainstreaming approach and gender tools and guidelines.
- 3.4.1. Deliver regular policy/law briefing sessions at central (and district level) MOHA teams by the MOHA Programme Manager and GIDP/UNDP CTA.
- 3.4.2. Delivery of policy/law briefing sessions from Central (MoHA Teams) to Provincial and Districts Offices, and PPAs twice a year.
- 3.4.3. Develop and finalise a Gender and Social Inclusion Action Plan, tools and guideline for MoHA.

## 4.2 Inception period

During an initial 6-month Inception period the programme will further refine the outcome statement using rubrics analysis. This will provide GPAR GIDP with a big picture scenario and a sense of where things stand now and how they might progress through observed situational changes. The overall programme design, monitoring and implementation will be enhanced through a defined number of preparatory activities and upgrading of current tools during the inception period. These include:

**Table 1. GIDP Inception Period - Key Activities and expected results**

<b>GIDP Inception Period (First 6 months) – Expected Results and Key Activities</b>					
	<b>Expected Result</b>	<b>Activity</b>	<b>Within Inception</b>	<b>GIDP reference</b>	<b>Actively Involved (consulted)</b>
1	M&E plan including Rubrics Scale for GIDP	Elaborate M & E Plan + Rubrics Scale for GIDP	Complete	Outcome level	GIDP team (GIDP partners)
2	Review of existing DDF Guidelines and suggestions for upgrade	Upgrade DDF Guidelines	Complete	Output 1	GIDP team (GIDP partners)
3	PSIF guidelines	Develop guidelines for PSIF	Complete	Output 3	GIDP team (GIDP partners)
4	Case of practical collaboration between DDF & PRF	Explore practical collaboration between DDF & PRF	Complete	General partnerships & Output 1	GIDP team (GIDP partners)
5	Review of existing SUFS	Upgrade SUFS citizens survey (PAPI) <sup>19</sup>	Begin	Output 2	GIDP team (GIDP partners)
6	Gender and Inclusive Action Plan	Develop Gender and Inclusive Action Plan	Complete	General approach & monitoring	GIDP team (GIDP partners)

<sup>19</sup> There is a growing voice within ASEAN for public service performance indices and a more harmonised approach. At ‘ASEAN Civil Service Innovation conference (ACSIC)’ on 18-19 November 2015 Conference Kuala Lumpur, Malaysia presented its paper “Towards an ASEAN Citizen-Centric Civil Service.” It is important that GID is keeps aware of emerging trends within ASEAN – MoHA as an active member of the ASEAN ACCSM is well placed to do this.

7	Outline of Actionable Exit Plan	Develop an Actionable Exit Plan jointly with MoHA	Begin	General approach and management	GIDP team / MoHA (GIDP partners)
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In addition, the targeted provinces will be identified during the inception period through developing criteria to identify appropriate targeted groups and geographic areas, prioritising the marginalised. The selection process will be based on credible evidence that reflects both socio-economic criteria and the capacity and motivation of individual sub-national administrations to improve the lives of their citizens through responsive service delivery. The evidence collection will be enhanced through a participatory capacity assessment and an existing needs assessment conducted by the implementing partner, MoHA.

Table 2 GIDP Results Framework

GIDP Results Framework										
<b>CPD OUTCOME #3 / UNPF OUTCOME #7:</b> <i>Institutions and policies at national and local level support the delivery of quality services that better respond to citizen's needs</i>										
<b>GIDP Outcome Statement:</b> <i>Local institutions are able to increase the coverage of basic services and include citizens' feedback in the planning cycle for services provision by 2020</i>										
<ul style="list-style-type: none"> <li>• <i>number of households (235,000 by GIDP) receive two or more basic services<sup>20</sup> from their district</i> - <i>Baseline: 373,948 (2015) / Target: Y1: 0, Y2: +45,000, Y3: +45,000, Y4: +145,000 (Total: 600,000)</i></li> <li>• <i>number of people (disaggregated by sex, age, disability &amp; ethnicity) give feedback on services received</i> - <i>Baseline: 0 / Target: Y1: 3,500, Y2: 7,000: Y3: 10,500 Y4: 15,750 (Total: 36,750)</i></li> <li>• <i>number of district level multi-sector, participatory annual service project plans implemented as planned</i> - <i>Baseline: 0 / Target: Y1:0, Y2:50 Y3: 98 Y4:228 (Total: 376)</i></li> <li>• <i>partnerships for national policy advocacy and discussions feed into governance related policies and service delivery</i> (Note: "qualitative indicators" will be developed in the course of the inception phase.)</li> </ul>										
<i>Applicable Output(s) from the UNDP Strategic Plan: Functions, financing and capacity of sub-national level institutions enabled to deliver improved basic services and respond to priorities voiced by the public (Output 3.2)</i>										
<ul style="list-style-type: none"> <li>- <i>3.2.2.A.1.1: Level of capacity of sub-national governments/administrations for planning delivery of basic services</i></li> <li>- <i>3.2.2.A.2.1: Level of capacity of sub-national governments/administrations for budgeting delivery of basic services</i></li> <li>- <i>3.2.2.A.3.1: Level of capacity of sub-national governments/administrations for monitoring delivery of basic services</i></li> </ul>										
<i>Project title and Atlas Project Number: Governance for Inclusive Development Program (GIDP)</i>										
EXPECTED OUTPUTS	OUTPUT INDICATORS (disaggregated by sex, location and/or target group)	Participating UN Organisations Responsible	Implementing Partners	BASELINE		TARGETS (by frequency of data collection)				
				Value	Year	Year 1 2017	Year 2 2018	Year 3 2019	Year 4 2020	FINAL
<b>Output 1</b> Targeted local administrations are able	1.1 Number of district multi-sector project work plans co-financed by the government	UNCDF	MoHA	0	2016	0	4	7	9	20

<sup>20</sup> Basic services: Community prioritised local services, as defined in DDF Guidelines, viz. Health (e.g. clean water / sanitation, clinics, outreach health services etc.); Education (Schools, promotion, inspection/standards, etc); Agriculture (e.g. irrigation, technical visits/instruction, outreach services, etc.); Public Works (e.g. Access via local bridge & road, markets, outreach services & community-based maintenance, etc)

to develop and finance the implementation of multi-sector work plans based on community priorities	1.2 Percentage of district administration offices that use upgraded project management tools for better planning and budgeting of basic services	UNCDF/UNDP	MoHA	43%	2016	0	48%	57%	67%	67%
	1.3 Number of new district annual progress reports completed per expected standard	UNCDF/UNDP	MoHA	173	2016	0	18	35	79	132
	1.4 Number of LoTUS/LIFE investment pipeline identified, developed and implemented	UNCDF	MoHA	0	2016	0	1	1	1	1
<b>Output 2</b> Accountability framework applied at the district level to capture and use citizens' feedback on provision of basic services	2.1 Number of district administrations that use District Service Data Analysis Excel Sheet (DDAS) to analyse rate of multi-sector service provision	UNDP	MoHA	2	2016	2	4	6	9	9
	2.2 Number of districts applying the SUFS/PAPI based service user feedback survey	UNDP	MoHA	2	2016	2	4	6	9	9
	2.3 Percentage of districts' plans that incorporate citizens' feedback for costed planning	UNDP	MoHA	0	2016	0	0	20	30	50
	2.4 Number of districts that implement performance assessment mechanisms (PAM)	UNCDF/UNDP	MoHA	12	2016	0	0	4	7	7

<b>Output 3:</b> Enhanced multi-stakeholder governance processes promoting dialogue and feeding into good governance related policies including the delivery of basic services	3.1 Number of new multi-stakeholder policy discussions facilitated under the GSWG to advance governance and gender issues at the national and provincial levels	UNDP	MoHA	24	2016	6	6	6	6	24 (additional)
	3.2 Number of PSIF proposals that promote partnerships between local administrations and NPAs for improved service delivery	UNDP	MoHA	0	2016	5	20	20	5	50
	3.3 Percentage of new public administration policies and regulations that incorporate gender equality measures	UNDP	MoHA	0	2016	0	35	65	95	95

## 5 PROGRAMME MANAGEMENT AND COORDINATION

### 5.1 GIDP Governance Structure

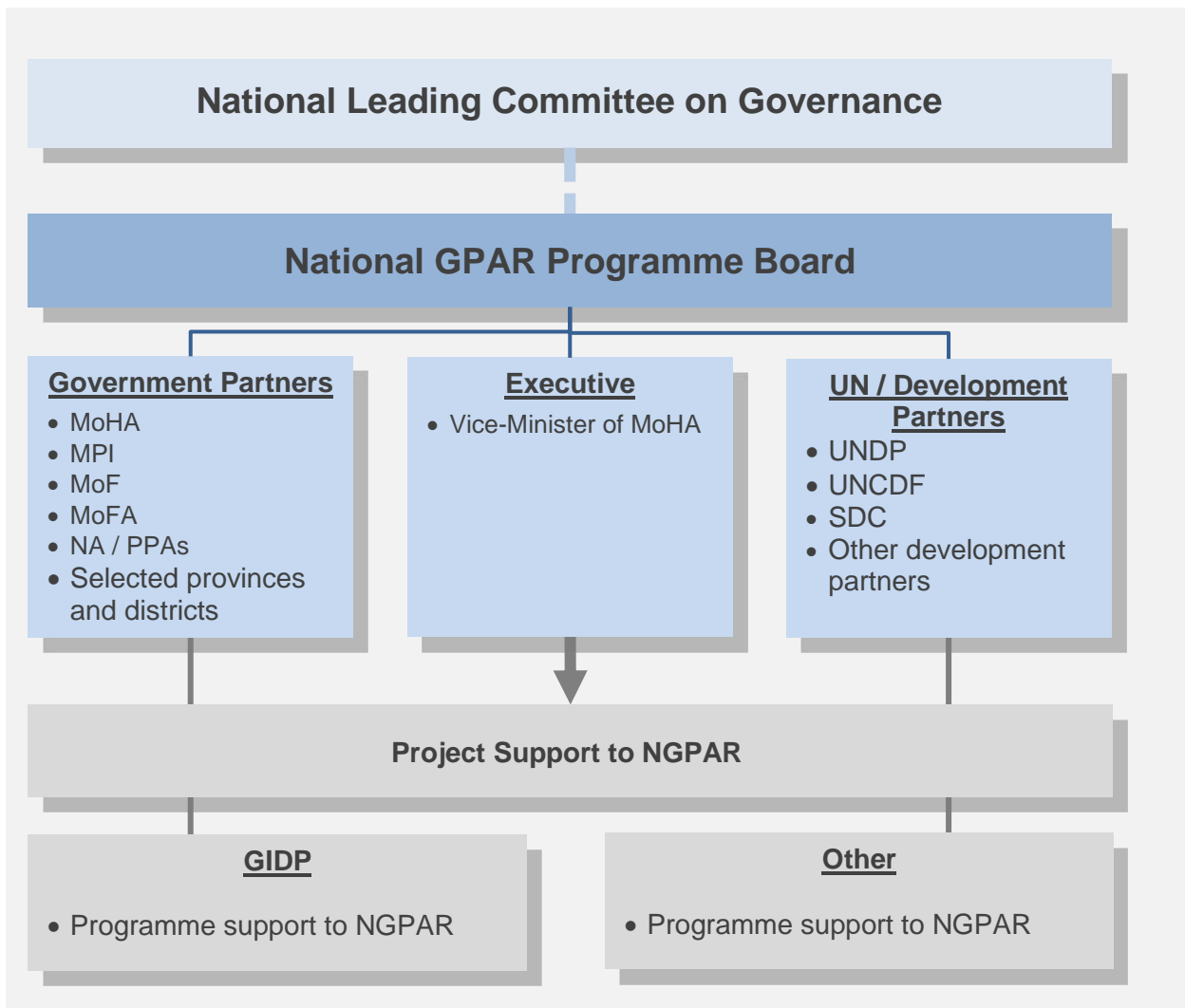


Figure 3 Governance Structure of GIDP

The GIDP will merge with and benefit from the existing management structures for the government's NGPAR programme - illustrated in diagram above.

### 5.2 Leading Committee on Governance

The Government's Leading Committee on Governance Reform (2012) will steer the political direction of the programme and support its coordination among the relevant ministries. The Leading Committee, co-chaired by the Deputy Prime Minister and the Deputy Speaker of the NA, will include among its members all the key ministries and ministry equivalent agencies, as well as mass organizations that have a key role to play in the implementation of the governance strategy. The Leading Committee will meet at least twice a year. MoHA, with GIDP support, will operate as the Secretariat to this Leading Committee.

### 5.3 National GPAR Programme Board

The existing NGPAR programme board will assume the role and functions of a GIDP Programme Board and act in lieu thereof. The Vice Minister of MOHA, who will have direct oversight for GIDP, heads the NGPAR programme board. The NGPAR programme board reports to the high level Leading Committee

on Governance. The NGPAR programme board will meet four times per year to discuss programme progress and endorse programme orientations. The Programme Board will be responsible for discussing and endorsing the quarterly work plans, quarterly progress reports, annual work plans and annual progress reports. It will supervise the overall programme implementation and management.

The ultimate responsibility for the delivery of GIDP is with the Executive of National GPAR Programme Board. A Programme Manager is designated by the Programme Board, and is also the Head of the Programme Secretariat – Terms of Reference in Annex. Operational responsibility for outputs will be assigned to the specific divisions of MoHA or equivalent office at the provincial and district levels. The activities related to these outputs will be part of the annual work plans of the particular offices. Administrative responsibility for planning, budgeting, preparing quarterly funding plans, tracking of activities and outputs, settlement of resources utilized, and reporting, will rest with relevant Deputy Director Generals; and will be coordinated under the Programme Manager.

#### **5.4 Programme Management**

The following activities are specifically related to setting up and managing the GIDP:

- Staff recruitment and contracting
- Develop detailed and costed annual work plan; identify deliverables with MOHA during six-month inception phase (including a flow-chart per output/per major activities)
- Set up GIDP programme and finance management procedures at central and sub-national levels and complete an orientation for GIDP teams and MOHA sub-national teams<sup>21</sup>.

#### **5.5 Programme Locations and operations**

- GIDP is primarily located within MoHA and operates through MoHA provincial and district level structures. Cross-sectoral collaboration and implementation is an integral element of GIDP design, which includes MPI and MoF, selected sub-national (provincial and district) administrations.
- The operations support will be jointly shared by GIDP and MoHA, with a gradual transfer of more responsibilities to MoHA.
- Participating provincial administrations, districts and villages will be consultatively determined based on its strategic and rigorous selection process and criteria to identify appropriate targeted groups and geographic areas prioritising the marginalised during the six-month inception phase. It will not solely reflect socio-economic criteria, but also take into account governance factors such as the capacity and motivation of individual sub-national administrations to improve the lives of their citizens through responsive service delivery in order to ensure meaningful participation.

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<sup>21</sup> Establish MOHA focal points within PSTs at sub-national level to manage the collation of feedback/ data and information from district departments upwards to MOHA central level.

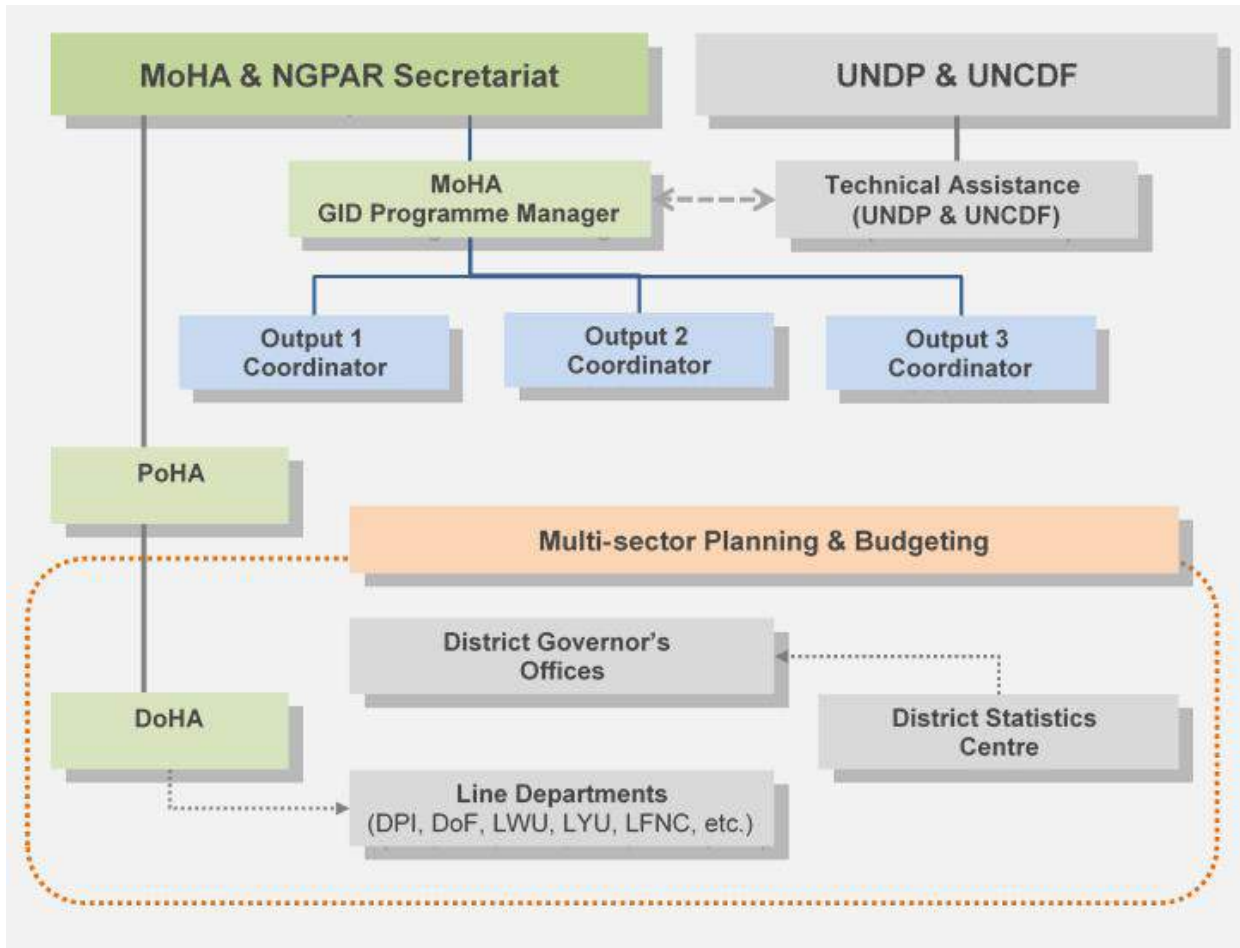


Figure 4 GIDP Operation Structure

## 5.6 National Implementation

GIDP will be executed through National Implementation (NIM) modality under the UNDP CPD 2017-2020. NIM structures and processes are institutionalised within government agencies and have been successfully executed through past initiatives such as the National GPAR Programme. The management and accountability structure will remain the same as the GPAR to tap into proven structures (e.g. NGPAR Programme Board), avoid unnecessary duplication ensure programme alignment with management arrangements of MOHA and to support an efficient inception period that uses protocols already familiar to MOHA. The programme will be institutionally housed in the MoHA, and linking the MoF, MPI, and central and local levels of administration, further enabling ownership of partnership arrangement at an early phase of the programme and avoiding parallel programme management systems. MOHA staff will implement activities at the central level, using existing decision-making processes to collaborate with line and other ministries at the central and sub-national levels.



## **6 FUND MANAGEMENT ARRANGEMENTS**

### **6.1 JP financing arrangements**

The UN Joint Programme financing arrangements will be the parallel funding modality for UNDP and UNCDF core resources and for Government contributions, while the pass-through modality will apply to relevant parts of the Third Party contributions to the programme. For the pass-through portion, the participating UN Organizations have selected UNDP to act as Administrative Agent (AA) for the 'Joint Programme' - i.e. the GIDP. The AA will enter into a Memorandum of Understanding (MoU) with the participating UN Organizations based on the portfolio of activities that have been mutually agreed in line with the common work plan and a Standard Administrative Arrangement (SAA) with each donor that will set out the terms and conditions governing the receipt and disbursement of funds.

The AA will:

- Establish a separate ledger account under its financial regulations and rules for the receipt and administration of the funds received from the donor(s) pursuant the Administrative Arrangement. The AA in accordance with the regulations, rules, directives and procedures applicable to it, including those relating to interest, will administer this account.
- Make disbursements to participating UN Organizations from the Joint Programme Account based on instructions from the Steering Committee, in line with the budget set forth in the Joint Programme Document.

The participating UN Organizations will:

- Assume full programmatic and financial responsibility and accountability for the funds disbursed by the AA.
- Establish a separate ledger account for the receipt and administration of the funds disbursed to it by the AA.

Each UN organization is entitled to deduct their indirect costs on contributions received according to their own regulation and rules, taking into account the size and complexity of the programme. Each UN organization will deduct agreed % as overhead costs of the total allocation received for the agency, as specified in the MOU between the participating UN organisations.

The AA is entitled to receive agreed % of the amount contributed by donors, for the costs of performing the functions described above. The rate will be stipulated in both the MoU and the SAA.

For the thirds party funds not passed through to UNCDF, UNDP will charge its regular GMS fee of 8% as per standard cost sharing agreement.

UNCDF will negotiate a separate MoU with government that governs the use of the fiscal facility that ensures fiduciary accountability whilst enabling the funds to be integrated within the government public financial management framework. With regard to financial management, all UNDP and UNCDF-funded expenditures will be managed and audited in accordance with standard UNDP and UNCDF procedures.

Any grants made to districts and municipalities (within the framework of GDP) will be an integral part of the budget of GoL and will be classified as “grants” in the budget nomenclature. Expenditures from these grants will be undertaken within the framework of government procedures for procurement and financial management and audited as per Government audit regulations.

### **Transfer of cash to national Implementing Partners:**

Cash transfer modalities, the size and frequency of disbursements, and the scope and frequency of monitoring, reporting, assurance and audit will be agreed prior to programme implementation, taking into consideration the capacity of implementing partners, and can be adjusted in its course in accordance with applicable policies, processes and procedures of the participating UN organizations. For the ExCom agencies, the provisions required under the Harmonized Approach to Cash Transfers (HACT) as detailed in their CPAPs or in other agreements, covering cash transfers will apply.

For regular non-grant budget standard NIM regulations will be applicable in terms of establishing a project account and quarterly advances using the FACE form for reporting. For grant transfers a detailed MoU will be established between MoHA and relevant agencies to facilitate smooth fund flow of agreed grant allocations.

## **6.2 JP management arrangements**

For purposes on managing the specific legal requirements of the UN Joint Programme, a Steering Committee (SC) will be established to formally specify the agreements regarding allocation of donor resources among participating UN organizations. The SC will be called initially after signature of the Joint Programme and thereafter whenever it is required and will make fund allocation decisions on funds received, taking into account needs, priorities and absorptive capacities.

However, overall monitoring and oversight will be carried out by the NGPAR Programme Board, in accordance with its mandate, and includes the following functions:

- Provide overall guidance and direction to the Joint Programme, including guidance on the implementation of the JP.
- Review and approve JP budgets and annual work plans, and approve substantive programme and budget revisions.
- Advise on resource mobilisation strategy for the JP.
- Review Programme performance against the intended results, i.e. outcome, sub-outcome and outputs.
- Initiate reviews of the JP and in particular on the management arrangements, and advise on follow-up actions related to review and evaluation findings/recommendations, including audit.
- Approve JP progress reports submitted by the JP Lead Agency.

## 7 MONITORING AND EVALUATION

### 7.1 Monitoring and Evaluation Plan

The programme will be monitored in accordance with UNDP's programming policies and procedures, through the activities shown in the Monitoring Plan below. This will be supplementary to a formal M & E plan and that will be professionally developed during the inception period of the programme. Budget required for M&E and its allocation per activities is:

**Table 3 GDP M&E Budget**

M&E Activities	Budget	M&E Budget per output 1-3	Budget	%
Final Evaluation	26,162	Output 1	122,912	45
MTR	17,080	Output 2	109,255	40
Capacity base/endline	61,296	Output 3	40,971	15
Service Map base/endline	40,200	<b>Total</b>	<b>273,138</b>	<b>100</b>
M&E Framework/Gender & Ethnic within MoHA	128,400			
<b>Total</b>	<b>273,138</b>			

The programme inception phase will produce a formal 'M&E Plan' framework that enables MOHA to manage their monitoring workloads at central and sub-national levels and the Secretariat to coordinate M&E responsibilities and deliverables. The 'M&E Plan' is an industry standard tool, it will contain named people responsible for collating, analysing, storing and reporting on data collected or compiled by Local Administrations (Results Framework, Information/Data Flow Chart, Monitoring/Survey Tools, reporting templates, data visualisation sheet to track progress of targets). The M&E plan feeds into ATLAS and other learning and accountability mechanisms. Data will be collected taking into account aspects of quality including credibility, timeliness and relevance. Details about the baselines and end-lines will be included in the M&E Plan and be developed in consultation with MoHA. Research questions of particular interest will be included where feasible to ensure survey work and Geographical Information Systems (GIS) Maps capture information on a) the percentage of public services prioritised as very important by women and by ethnic groups and b) the number of villages where people convey clear sense of satisfaction / dissatisfaction with the quality of services provided by districts

Furthermore, during the inception phase, the programme will refine the outcome statement using rubrics analysis. This will provide GPAR GDP with a big picture scenario and a sense of where things stand now and how they might progress through observed situational changes.

The programme is designed to develop monitoring tools with MOHA and local administrations in the first 6 months of the inception period and therefore not recorded in detail in this section. Programme resources for M&E reflect the necessary inputs to support and embed good data management practices across the programme. The programme is also in line with a growing movement in developmental M&E that recommends far greater emphasis on monitoring progress

towards outcome, in addition to monitoring the intervention and operational process itself. The shift from activity-based monitoring to a results-based approach incurs a justifiable cost of less than 6% of the total programme amount. UNDP/UNCDF and MOHA are keen to manage evaluation to higher standards, prompting the use of case study, which offer methodological rigour as the programme proceeds.

Programme coordination will be provided through ongoing inputs from UNDP CTA/UNCDF/IUNV. Programme assurance will be provided from UNDP-UNCDF Country Offices and implementation coordination will be further ensured through regular programme meetings, including quarterly programme meetings that will take place before the Programme Board meetings, or as required. The Programme coordination meetings will be attended by nominated (MoHA) managers for the 3 outputs, the UNDP CTA and Programme Officers and UNCDF, as well as contributing donors. Representatives from provinces, in rotation, will participate in these coordination meetings. The representatives of district programmes will meet at the provincial office of the Governor, twice a year, to ensure coordination and oversight.

In accordance with UNDP's programming policies and procedures, the programme will be monitored through the following monitoring and evaluation plans:

**Table 4 Joint Programme Monitoring FRAMEWORK (JPMF)**

Expected Results	Indicators	Collection methods	Responsibilities	Means of verification	Risks
<p><b>Outcome:</b> Local institutions are able to increase the coverage of basic services and include citizens' feedback in the planning cycle for services provision by 2020</p>	<p>1. Number of households (235,000 by GDP) received two or more basic services<sup>22</sup> from their district  <b>Baseline:</b> 373,948 (2015)  <b>Target:</b> 600,000 by 2020</p>	<p>1. Regular Progress Reviews (incl. DDF, GSWG) will be conducted jointly each quarter and annually                      2. Joint field visits will be organized at least 1 per year</p>	<p>MoHA/ UNDP/UNCDF</p>	<p>1.1. GDP Annual / Quarterly Progress Reports                      1.2 DDF annual reports                      1.3 Minutes of Annual Progress Reviews                      2. Records of joint field visits</p>	<p>Line Ministries, Provincial and District authorities reluctant to accept MOHA role in supporting streamlined multi-sector planning and outreach work to compliment line ministry work                      Changes in governance arrangements or key personnel in MOHA or District Governors' Office                      Misappropriation of funds and resources</p>
	<p>2. Number of people (disaggregated by sex, age, disability &amp; ethnicity) give feedback on services received  <b>Baseline:</b> 0  <b>Target:</b> 36,750 by 2020</p>				
	<p>3. Number of district level multi-sector, participatory annual service project plans implemented as planned  <b>Baseline:</b> 0  <b>Target:</b> 376 by 2020</p>				
	<p>4. Partnerships for national policy advocacy and discussions feed into governance related policies and services delivery                      (Note: "qualitative indicators" will be developed in the course of the inception phase.)</p>				

<sup>22</sup> Basic services: Community prioritised local services, as defined in DDF Guidelines, viz. Health (e.g. clean water / sanitation, clinics, outreach health services etc.); Education (Schools, promotion, inspection/standards, etc); Agriculture (e.g. irrigation, technical visits/instruction, outreach services, etc.); Public Works (e.g. Access via local bridge & road, markets, outreach services & community-based maintenance, etc)

<b>Output 1</b> Targeted local administrations are able to develop and finance the implementation of multi-sector work plans based on community priorities	1.1. Number of district multi-sector project work plans co-financed by the government <b>Baseline:</b> 0 (2016) <b>Target:</b> 20 by 2020	1. Annual Progress Reviews	MoHA/ UNCDF/UNDP	1.1. DDF reports 1.2. Minutes of Annual Progress Reviews	Government co-financing is a new concept – risk of slow take up by govt. No risk in measuring method.
	1.2. Percentage of district administration offices that use upgraded project management tools for better planning and budgeting of basic services <b>Baseline:</b> 43% (2016) <b>Target:</b> 67% by 2020	1. Annual Progress Reviews	MoHA/ UNCDF/UNDP	1.1. Office of District Governor 1.2. Minutes of Annual Progress Reviews	Weak accountability at district level
	1.3 Number of new district annual progress reports completed per expected standard <b>Baseline:</b> 173 (2016) <b>Target:</b> 132 (additional) by 2020				Weak accountability at district level
	1.4 Number of LoTUS/LIFE investment pipeline identified, developed and implemented <b>Baseline:</b> 0 (2016) <b>Target:</b> 1 by 2020				Weak accountability at district level
<b>Output 2</b> Accountability framework applied at the district level to capture and use citizens' feedback on provision of basic services	2.1 Number of district administrations that use District Service Data Analysis Excel Sheet (DDAS) to analyse rate of multi-sector service provision <b>Baseline:</b> 2 (2016) <b>Target:</b> 9 by 2020	1. Annual Progress Review	MoHA/ UNDP/UNCDF	1.1. Office of District Governor 1.2. Central monitoring file on D-SDMS 1.3. Minutes of Annual Progress Reviews	Weak accountability at district level

	<p>2.2 Number of districts applying the SUFS/PAPI based service user feedback survey</p> <p><b>Baseline:</b> 2 (2016)</p> <p><b>Target:</b> 9 by 2020</p>	<p>1. Annual Reporting</p> <p>2. Semi-annual Reporting</p> <p>3. Citizens' surveys</p>	MoHA/ UNDP/UNCDF	<p>1. Offices of District Governor</p> <p>2. GPAR Central Monitoring File</p> <p>3. Analysis of citizens' surveys</p>	Targeting of remote locations not done to meet national targets.
	<p>2.3. Percentage of districts' plans that incorporate citizens' feedback for costed planning</p> <p><b>Baseline:</b> 0 (2016)</p> <p><b>Target:</b> 50 by 2020</p>	<p>1. Annual Reporting</p> <p>2. Semi-annual Reporting</p> <p>3. Citizens' surveys</p>	MoHA/UNDP/UNCDF	<p>1.1. DDF reports</p> <p>1.2. Offices of District Governor</p> <p>2. GPAR Central Monitoring File</p> <p>3. Analysis of citizens' surveys</p>	Accountability missing at district level.
	<p>2.4 Number of districts that implement performance assessment mechanisms (PAM)</p> <p><b>Baseline:</b> 12 (2016)</p> <p><b>Target:</b> 7 (additional) by 2020</p>	<p>1. Semi-annual Reporting</p> <p>2. Annual Progress Review</p> <p>3. PAM Assessment Reports</p>	MoHA/ UNCDF/UNDP	<p>1. PAM Report per district</p> <p>2. Minutes of Annual Progress Reviews</p> <p>3. Annual PAM reports</p>	Accountability missing at district level.
<p><b>Output 3</b></p> <p>Enhanced multi-stakeholder governance processes promoting dialogue and feeding into good governance related policies including the delivery of basic services</p>	<p>3.1 Number of new multi-stakeholder policy discussions facilitated under the GSWG to advance governance and gender issues at the national and provincial levels</p> <p><b>Baseline:</b> 24 (2016)</p> <p><b>Target:</b> 24 (additional) by 2020</p>	<p>1. Annual Progress Reviews</p> <p>2. GSWG Annual report</p>	MoHA/ UNDP/UNCDF	<p>1.1. District (sector Offices)</p> <p>1.2. Provincial sector Dept.</p> <p>1.3. Minutes of Annual Progress Reviews &amp; GSWG</p>	Delegation of policy work at central level is done per ministry and MoHA lacks mandate and / or capacity for policy oversight.
	<p>3.2 Number of PSIF proposals that promote partnerships between</p>	<p>1. Annual Progress Reviews</p>	MoHA/ UNDP/UNCDF	<p>1.1. Office of Provincial Governor</p>	Multi-stakeholder dialogue becomes a

	local administrations and NPAs for improved service delivery <b>Baseline:</b> 0 (2016) <b>Target:</b> 50 by 2020	2. PSIF Annual report		1.2. GPAR Project Report 1.3. Minutes of Annual Progress Reviews	'lip-service' process and follow-up work in accountable ways does not materialise.
	3.3 Percentage of new public administration policies and regulations that incorporate gender equality measures <b>Baseline:</b> 0 (2016) <b>Target:</b> 95 by 2020	1. Annual & Quarterly Progress Reviews	MoHA/ UNDP/UNCDF	1.1. GPAR Project Report 1.2. Minutes of Annual Progress Reviews 1.3. MoHA report	Insufficient capacity of MoHA staff to apply their knowledge gained from gender training to practice in incorporating into actual policies and regulations.  Gender Training is not carried into practice and mainstreaming into Public Administration reforms.

**Table 5 GIDP Monitoring ACTIVITY**

Monitoring Activity	Purpose	Frequency		Partners
Field Visits	Purpose in terms of monitoring and what to look for in order to measure progress should be defined in advance	Anytime of the year	Joint efforts by several partners involved in related projects within an outcome are increased	<b>Expected Action</b> MOHA/ UNDP/ UNCDF
Monthly Meetings	To assess progress being made and implementation issues likely to affect programme's progress both in terms of substance and financial delivery.	Every month	Planned activities of the following month are discussed in detail; minutes are action	MOHA/ UNDP/ UNCDF



			oriented, signed by all parties and field in the programme office	
Quarterly Meetings	To examine progress made and results achieved in the quarter both in terms of substance and financial delivery, including discussion on the lessons learned and updates to risks and issues logs	Every quarter	Planned activities for the following quarter are discussed in detail; minutes of the meeting are to be action oriented, signed by all parties and field in the programme office	MOHA/ UNDP/ UNCDF
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the programme in achieving the agreed outputs.	Semi-annual	Slower than expected progress will be addressed by programme management.	MOHA/ UNDP/ UNCDF
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Semi-annual	Risks are identified by programme management and actions are taken to manage risk. The risk log is regularly maintained to keep track of identified risks and actions taken.	MOHA/ UNDP/ UNCDF
Learn	Knowledge, good practices and lessons will be captured in tandem with biannual reporting and the use of case study methods.	At least annually	Relevant lessons are captured by the programme team and used to inform management decisions.	MOHA/ UNDP/ UNCDF
Annual Programme Review Meeting	To facilitate dialogue amongst senior management to assess progress towards results (outcomes and outputs).	Annually	Stronger mutual understanding and consensus amongst partners are built on the issues relevant to achieving the planned results and making key high level decisions	MOHA/ UNDP/ UNCDF
Annual Programme Quality Assurance	The quality of the programme will be assessed against UNDP's quality standards to identify programme strengths and weaknesses and to inform management decision making to improve the programme.	Annually	Areas of strength and weakness will be reviewed by programme management and used to inform decisions to improve programme performance.	MOHA/ UNDP/ UNCDF
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision-making.	Semi-annual	Performance data, risks, lessons and quality will be discussed by the programme board and used to make course corrections.	MOHA/ UNDP/ UNCDF
Programme Report	A brief progress report will be presented to the Programme Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the	Annually, and at the end of the		MOHA/ UNDP/ UNCDF

	annual programme quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	programme (final report)	Performance data, risks, lessons and quality will be discussed by the programme board and used to make course corrections.	
Programme Review	The programme board will hold programme reviews to assess the performance of the programme and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the programme. In the programme's final year, the Programme Board shall hold an end-of programme review to capture lessons learned and discuss an existing plan, opportunities for scaling up, and/or to use lessons learned with relevant audiences.	Annually	Any quality concerns or slower than expected progress should be discussed by the programme board and management actions agreed to address the issues identified.	Programme Board

**Table 6 Evaluation Plan**

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNPF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Estimated Cost
Evaluative Case Study	MOHA/MoF/MPI	3.2	3.1	16-17 months from commencement/ MOU	Members of GSWG, successful CSO/NPA and district departments awarded grants, UNCDF	15,000
Mid-Term Review	MOHA	3.2	3.1	26-28 months from commencement/ MOU	Members of GSWG, successful CSO/NPA and district departments awarded grants, UNCDF, Line Ministries	17,400
Final Evaluation*	MOHA	3.2	3.1	46-47 months from commencement/ MOU	Members of GSWG, successful CSO/NPA and district departments awarded grants, UNCDF, Line Ministries	26,162
GIDP impact study	MOHA	3.2	3.1	46-47 months from commencement	Members of GSWG, successful CSO/NPA and district departments awarded grants, UNCDF, Line Ministries and local communities	-

\* This will be undertaken by independent evaluators with a particular focus on examining the progress in achieving the intended results as per the results framework. It is also designed to capture lessons learned and identify key recommendations.

\*\* Terminal Review Report: This review will be undertaken within 6 months of the termination of the programme (operationally closed)

**Table 7 UNDP and UNCDF Internal arrangements for Pass-Through Portion**

<b>UNDP and UNCDF internal arrangements for Pass-Through portion</b>
<p>Reporting for the Pass-Through Portion</p> <p>Each Participating UN Organization will prepare the following reports on its contribution in accordance with its financial rules and regulations:</p> <ul style="list-style-type: none"> <li>• UNCDF will provide annual narrative progress reports to UNDP for the elements implemented by UNCDF to be provided no later than three months (31 March) after the end of the calendar year;</li> <li>• Annual financial statements and reports as of 31 December with respect to the funds disbursed to it from the Joint Programme Account, to be provided no later than four months (30 April) after the end of the calendar year;</li> <li>• Final narrative reports, after the completion of the activities in the Joint Programme Document and including the final year of the activities in the Joint Programme Document, to be provided no later than four months (30 April) of the year following the financial closing of the Joint Programme. The final report will give a summary of results and achievements compared to the goals and objectives of the Joint Programme;</li> <li>• Certified final financial statements and final financial reports after the completion of the activities in the Joint Programme Document and including the final year of the activities in the Joint Programme Document, to be provided no later than six months (30 June) of the year following the financial closing of the Joint Programme.</li> </ul>

## **7.2 Audit arrangement**

The programme will be assessed on an annual basis, in accordance with the UNDP audit policies and procedures, as outlined in the UNDP Lao PDR SOP Guidelines.

## **7.3 Risks and Assumptions**

**Technical and management complexity of multiple sector planning and streamlined procedures inhibits MOHA effectiveness:** Programme Board<sup>23</sup> takes a proactive and clear role to communicate key activities and indicators of GIDP with Director Generals of key ministries at central level and through them staff at the sub-national level. GIDP will coordinate with PRF and other development partners on geographical coverage and multi-sector planning work in targeted provinces. GIDP will develop a simple capacity development plan to roll out the operational/administrative tools used in GIDP to targeted administrations. GIDP will invest in distinct monitoring activities to track whether and to what extent, multi-sector planning takes place as planned.

**Line Ministries, Provincial and District authorities reluctant to accept MOHA’s role in supporting streamlined multi-sector planning and outreach work to compliment line ministry work-** Role and effectiveness of MOHA to be reviewed and endorsed during Programme Board Meetings. MOHA Programme Manager takes a proactive role in coordinating with heads of line provincial authorities to communicate MOHA multi-sector commitments in a timely manner. UNDP technical support also uses the inception period to discuss and develop deliverables expected of MoHA (named officials) to reinforce what does what, by when and to what quality.

<sup>23</sup> GIDP will use the existing National GPAR Programme Board (not establish separate project board)

**As the primary target, women do not benefit from GIDP resources.** A simple gender and ethnic inclusion action plan will be produced to mitigate disparities in gender and ethnic. For instance, the upgraded DDF approach will use gender-sensitive budgeting, which is linked to the New Budget Law (2015) (see section on gender for further details).

**Insufficient opportunity for dialogue among citizens and NPAs and service users.** In addition to PSIF, SUFS and NPAs outreach work, MOHA and GIDP secretariat will ensure citizen feedback is high on agenda in operational and management terms so updates are available during policy meetings. Concrete data and evidence gathered from service mapping are used to report the progress of using village priorities for coordinating the delivery of basic services. Service Mapping and **outreach work in village areas will identify the ethnic language and funds will be** set aside to ensure communication materials are understandable to low literacy groups and people not versed in Lao language.

**Changes in governance arrangements or key personnel in MOHA or District Governors' Office:** The Programme Board will be informed and ensure a smooth transition to any such developments concerning critical key staff. UNDP technical assistance in M&E and operational management will implement a capacity plan with MOHA and local administrations so they adopt new ways of planning, outreach and service mapping. GIDP's capacity development aims to support internalization at an organizational level (i.e. not individual level); mitigating loss of capacity if there is staff turnover. The Programme Board will facilitate open dialogue to address any concerns raised by partners.

**Misappropriation of funds and resources:** Fund disbursement based in progress of meeting targets under each indicator and the use of credible evidence for management decision-making.

## 8 LEGAL CONTEXT

This Joint Programme document shall be the instrument referred to as such in Article 1 of the SBAA between the Government of Lao PDR and UNDP, signed on 10 October 1988. Consistent with the Article III of the Standard Basic Assistance Agreement, 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. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

The executing agency shall:

Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the Programme is being carried;

- Assume all risks and liabilities related to the executing agency'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.
- The Implementing Partners agree to undertake all reasonable efforts to ensure that none of the funds received pursuant to this Joint Programme are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by Participating UN organizations 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 programme document.

### Government Entity (NIM)

1. Consistent with the Article III of the SBAA [*or the Supplemental Provisions*], 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. To this end, 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.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner]<sup>24</sup>.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP 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

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<sup>24</sup> Use bracketed text only when IP is an NGO/IGO

Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

4. Consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
6. All signatories to the Programme Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

## 9 ANNEXES

### 9.1 ACRONYMS

AA	Administrative Agent
ADB	Asian Development Bank
ASEAN	Association of Southeast Asian Nations
CADEM	Capacity Development and Modernisation Fund
CSOs	Civil Service Organizations
CEGGA	Citizen Engagement for Good Governance, Accountability and Rule of Law
CPD	Country Programme Document (UNDP's)
DDAS	District Services Data Analysis Excel Sheet
DDF	District Development Fund
DDF-BBG	District Development Fund - Basic Block Grant
DDF-OEBG	District Development Fund - Operational Expenditure Block Grant
DDSC	District Development Support Committee
DDST	District Development Support Team
DoF	Department of Finance
DPI	Department of Planning and Investment
DPO	Disabled Persons' Organization
D-SDMS	District Service Delivery Monitoring System
EOI	Expression of Interest
EU	European Union
FDI	Foreign Direct Investment
GDP	Gross Domestic Products
GID	Governance for Inclusive Development
GIDP	Governance for Inclusive Development Programme
GIS	Geographical Information Systems
GNI	Gross National Income
GPAP-SCSD	Strengthening Capacity and Service Delivery of Local Administrations Project
GSWG	Governance Sector Working Group
GoL	Government of Lao PDR
IGFT	Inter-Governmental Fiscal Transfer
LDC	Least Developed Country
LoCAL	Local Climate Adaptive Living Facility
LFNC	Lao Front for National Construction
LFTU	Lao Federation of Trade Unions
LoTUS	Local Transformative and Uplifting Solution
LYU	Lao Youth Union
LWU	Lao Women's Union
MAF	Ministry of Agriculture and Forestry
MEM	Ministry of Energy and Mines
MES	Ministry of Education and Sports
MIC	Ministry of Industry and Commerce
MPH	Ministry of Public Health
MoPWT	Ministry of Public Works and Transport
MoHA	Ministry of Home Affairs

MoF	Ministry of Finance
MoNRE	Ministry of Natural Resources and Environment
MoST	Ministry of Science and Technology
MPI	Ministry of Planning and Investment
NA	National Assembly
NGPAR	National Governance and Public Administration Reform
NPA	Non-Profit Association
NSEDP	National Socio-Economic Development Plan
ODA	Official Development Assistance
PA	Performance Assessment
PAM	Performance Assessment Manual
PAPI	Public Administration Performance Index
PDR	People's Democratic Republic
PEM	Public Expenditure Management
PFM	Public Financial Management
PRF	Poverty Reduction Fund
PST	Provincial Support Team
PSIF	Public Service Innovation Facility
PPA	People's Provincial Assembly
SAA	Standard Administrative Arrangement
SC	Steering Committee
SDC	Swiss Agency for Development and Cooperation
SDGs	Sustainable Development Goals
SUFS	Service User Feedback Survey
SWG	Sector Working Groups
UNCDF	United Nations Capital Development Fund
UNDP	United Nations Development Programme
UNPF	United Nations Partnership Framework
VD II	Vientiane Declaration on Partnership for Effective Development Cooperation II
WB	World Bank



## 9.2 Work Plan and Budget

### 9.2.1 Multi-year Work Plan<sup>25</sup>

Expected Outputs	Planned Activities	GPAR GID Programme Planned budget by Year					Lead Organization	Source of Funds
		2017	2018	2019	2020	Total USD		
		1,871,332	2,143,389	2,645,016	2,694,992	9,354,729		
<b>Output 1: Targeted local administrations are able to develop &amp; finance the implementation of multi-sector work plans based on community priorities</b>		660,827	1,075,120	1,635,080	1,711,710	5,082,737		
	<b>Output Indicator 1.1 Number of district multi-sector project work plans co-financed by the government</b>							
<b>Indicator 1.1.</b> Number of district multi-sector project work plans co-financed by the government Baseline: 0 (2016) Target: 20 by 2020	<b>1.1.1 Upgrade DDF system &amp; guidelines</b>					-		
	<i>Consultant Intn</i>	35,000	-	-	-	35,000	UNCDF	SDC
	<i>Consultant Nat</i>	7,500	-	-	-	7,500	UNCDF	SDC
	<i>Travel Int</i>	5,000	-	-	-	5,000	UNCDF	SDC
	<i>Travel Local</i>	2,500	-	-	-	2,500	UNCDF	SDC
	<i>Workshops/Printing guidelines, etc.</i>	4,500	-	-	-	4,500	Govt	Govt
<b>Indicator 1.2.</b> Percentage of district administration offices that use upgraded project management tools for better planning and budgeting f basic services	<i>Explore areas for practical collaboration DDF &amp; PRF (Workshops/local travel)</i>	5,000	-	-	-	5,000	Govt	Govt
	<b>1.1.2 Select, approve priority basic services -DDF (BBG/OEBG)</b>					-		
	<i>National Awareness Workshops/travel/printing on DDF</i>	47,600	-	-	-	47,600	UNCDF	SDC
	<i>OEBG Trg &amp; refreshment trg for Districts/Provinces teams</i>	42,000	126,000	-	-	168,000	UNDP	SDC

<sup>25</sup> \$100,000 difference between Cover Page & AWP is "In Kind" from GoL (\$100k) – while this is a real benefit to the GID project (e.g. premises, staff support from MoHA etc) it does not involve any Budget movements within GID and thus is not included in GID AWP.

Baseline: 43% (2016) Target: 67% by 2020	<i>OEBG Trg &amp; refreshment trg for Districts/Provinces teams</i>	-	-	191,945	15,000	206,945	UNDP	DP	
	<i>BBG trg &amp; refreshment trg for District/Provincial teams</i>	16,000	28,000	36,000	15,000	95,000	UNDP	SDC	
<b>Indicator 1.3</b> Number of new district annual progress reports completed per expected standard Baseline: 173 (2016) Target: 132 (additional) by 2020	<i>PST Support.</i>	-	27,000	-	-	27,000	UNDP	SDC	
	<i>PST Support.</i>	-	-	73,500	118,500	192,000	UNDP	DP	
	<b>1.1.3 Award DDF grants</b>					-			
	<i>OEBG operational grant (DDF) for Districts</i>	-	140,000	420,000	-	560,000	UNCDF	SDC	
	<i>OEBG operational grant (DDF) for Districts</i>	-	-	-	700,000	700,000	UNCDF	DP	
	<i>Capital Grants (DDF) targeting local priorities</i>	-	269,120	470,960	-	740,080	UNCDF	SDC	
	<i>Capital Grants (DDF) targeting local priorities</i>	-	-	-	459,900	459,900	UNCDF	DP	
	<b>1.2 Percentage of district administration offices that use upgraded project management tools for better planning and budgeting of basic services</b>								
	<b>Indicator 1.4</b> Number of LoTUS/LIFE investment pipeline identified, developed and implemented Baseline: 0 (2016) Target: 1 by 2020	<b>1.2.1 Set up and maintain standardised record system of services funded and delivered by DDF per district</b>					-		
		<i>Office equipment /IT</i>	36,000	62,000	60,000	-	158,000	UNDP	SDC
<i>District learning sessions/trg - done as part of 1.1.2 general DDF trg)</i>		-	-	-	-	-			
<i>Backstopping Districts/Provinces teams/management tools, reporting, fiduciary oversight)</i>		-	39,200	63,200	-	102,400	UNDP	SDC	
<i>Backstopping Districts/Provinces teams/management tools, reporting, fiduciary oversight)</i>		-	-	-	63,200	63,200	UNDP	DP	
<b>1.3 Number of new district annual progress reports completed per expected standard</b>									

<b>1.3.1 Collate &amp; report quantitative progress data on DDF services to quarterly District Chief meetings</b>						-		
<i>(cost included in BBG allocation (7%), - Here only the 7% cost for OEBG reporting)</i>	-	9,800	29,400	-	39,200	UNDP	SDC	
<i>(Cost included in BBG allocation (7%), - Here only the 7% cost for OEBG reporting)</i>	-	-	-	49,000	49,000	UNDP	DP	
<b>1.4 Number of LoTUS/LIFE investment pipeline identified, developed and implemented</b>								
<b>1.4.1 Feasibility/pilot private capital finance for local administration services investments (LoTUS/LIFE)</b>						-		
<i>Lotus/Life feasibility study</i>	15,000	-	-	-	15,000	UNCDF	Core	
<i>Develop LOTUS/LIFE / criteria for Laos(ITA)</i>	20,000	-	-	-	20,000	UNCDF	Core	
<i>Lotus/Life workshops on structured project finance</i>	-	25,000	-	-	25,000	UNCDF	Core	
<i>Develop &amp; maintain Lotus/Life Database</i>	4,500	2,500	2,500	2,500	12,000	UNCDF	Core	
<i>Lotus/Life trg in Provinces</i>	-	6,000	6,000	6,000	18,000	UNCDF	Core	
<i>Lotus/Life seed capital</i>	-	25,000	75,000	75,000	175,000	UNCDF	Core	
<i>UNCDF Technical assistance to GID</i>	200,000	200,000	77,500	77,500	555,000	UNCDF	Core	
<b>1.5.1 Design and demonstrate model One Door Service centre</b>						-		
<b>Improve ODSC</b>								
<i>Design Model ODSC - consultant</i>	20,000	-	-	-	20,000	UNDP	SDC	
<i>National specialist support</i>	6,000	3,000	-	3,000	12,000	UNDP	SDC	
<i>Equipment for Model ODSC</i>	10,000	-	-	-	10,000	UNDP	SDC	
<b>Output support</b>								

	<i>Inclusive Public Finance and Development Coordinator (Output 1)</i>	25,000	25,000	25,000	25,000	100,000	UNDP	TRAC
	<i>M&amp;E Plan / Gender&amp; activities Output 1</i>	51,727	-	36,575	34,610	122,912	UNDP	SDC
	<i>UNDP Chief Technical Advisor/services</i>	62,500	42,500	22,500	22,500	150,000	UNDP	SDC
	<i>UNCDF programme &amp; operations support</i>	45,000	45,000	45,000	45,000	180,000	UNCDF	Core
<b>Output 2: Accountability framework applied at the district level to capture and use citizens' feedback on provision of basic services</b>		<b>350,756</b>	<b>251,500</b>	<b>244,012</b>	<b>199,264</b>	<b>1,045,532</b>		
<b>2.1 Number of district administrations that use District Service Data Analysis Excel Sheet (DDAS) to analyse rate of multi-sector service provision</b>								
<b>Indicator 2.1</b> Number of district administrations that use District Service Data Analysis Excel Sheet (DDAS) to analyse rate of multi-sector service provision Baseline: 2 (2016) Target: 9 by 2020	<b>2.1.1 Refine the GPAR D-SDMS tool (DDAS District Service Data Analysis Sheet)</b>					-		
	<i>Travel &amp; workshops in districts</i>	3,000	3,000	3,000	3,000	12,000	UNDP	TRAC
	<i>National consultant to update DSDMS tool (&amp; guidelines/manuals)</i>	9,000	4,500	4,500	4,500	22,500	UNDP	TRAC
	<i>Lesson sharing workshop</i>	-	15,000	-	-	15,000	Govt	Govt
<b>Indicator 2.2</b> Number of districts applying the SUFS/PAPI based service user feedback survey Baseline: 2 (2016) Target: 9 by 2020	<b>2.1.2 Pilot test refined D-SDMS/DDAS (in 2 DDF districts)</b>					-		
	<i>Orientation workshop &amp; training on updated DDAS system in districts</i>	6,000	-	-	-	6,000	Govt	Govt
	<i>Evaluate &amp; report pilot test results and refine any issues</i>	6,000	-	-	-	6,000	UNDP	TRAC
<b>Indicator 2.3.</b> Percentage of districts' plans that incorporate	<b>2.1.3 Present findings on DDAS to selected districts, PPAs, &amp; GSWG</b>					-		
	<i>Local workshops &amp; printing (centre level reporting via GSWG budget line)</i>	10,000	10,000	10,000	10,000	40,000	Govt	Govt
	<b>2.1.4 Introduce DDAS to remaining targeted districts</b>					-		

citizens' feedback for costed planning Baseline: 0 (2016) Target: 50 by 2020	<i>Orientation workshop &amp; training on updated DDAS system in districts</i>	-	6,000	9,000	6,000	21,000	Govt	Govt	
	<i>Backstopping new district on DDAS</i>	-	6,000	4,500	3,000	13,500	UNDP	TRAC	
	<i>Lessons learned workshop &amp; dissemination</i>	-	-	-	13,500	13,500	Govt	Govt	
<b>Indicator 2.4</b> Number of districts that implement performance assessment mechanisms (PAM) Baseline: 12 (2016) Target: 7 (additional) by 2020	<b>2.2 Number of districts applying the SUFS/PAPI based service user feedback survey for costed planning &amp; 2.3. Percentage of districts' plans that incorporate citizens' feedback for costed planning</b>								
	<b>2.2.1 Refine SUFS &amp; adapt PAPI tool to capture community feedback</b>					-			
	<i>National consultant to update system &amp; Manuals &amp; training materials/trainings (SUFS &amp; PAPI)</i>	5,000	5,000	5,000	5,000	20,000	UNDP	TRAC	
	<i>Inter-National (Vietnam) on-going consultancy to support development towards PAPI</i>	15,000	7,500	7,500	7,500	37,500	UNDP	TRAC	
	<i>Advocacy &amp; dissemination on SUFS/PAPI</i>	-	3,000	6,000	4,500	13,500	UNDP	TRAC	
	<i>It &amp; Equipment for Districts/province (SUFS/PAPI)</i>	5,000	10,000	7,500	-	22,500	UNDP	TRAC	
	<i>Conduct and analyse SUFS/PAPI citizens service surveys (sex, age, disability, and ethnicity disaggregated)</i>	31,277	40,000	40,000	-	111,277	UNDP	TRAC	
	<i>(Digital Map/capacity assessment, baseline and end line included in M&amp;E plan/cost)</i>	-	-	-	-	-	UNDP	TRAC	
	<b>2.2.2 District Office informs communities on basic services in District Plan</b>					-			
	<i>Travel within district &amp; print public notices at Kumban Information Board (dissemination by local radio no cost)</i>	4,000	12,000	18,000	18,000	52,000	Govt	Govt	

	<i>2.2.2.1 Support to Ethnic affair, decree</i>					-			
	<i>A. Study mission to Vietnam for 5 days for MOHA and Ministry concerned (Central and provincial level)</i>	15,730	-	-	-	15,730	UNDP	SDC	
	<i>B. National Consultant for 30 days (to facilitate the Vietnam visit and the workshop)</i>	12,145	-	-	-	12,145	UNDP	SDC	
	<i>C. 2-day workshop in Vientiane upon return from study mission to share lessons learnt with relevant parties for 30 people</i>	18,422	-	-	-	18,422	UNDP	SDC	
	<b>2.2.3 Design, conduct, report digital service mapping on current service levels in selected provinces</b>					-			
	<i>Cost of above included in M&amp;E Plan &amp; activities</i>	-	-	-	-	-			
	<b>2.4 Number of districts that implement performance assessment mechanisms (PAM)</b>								
	<b>2.4.1 Scale up use PAM in 9 districts &amp; share results with the 9 district admin, concerned Province admin./GSWG</b>					-			
	<i>Orientation &amp; trg workshops in 3 provinces</i>	5,000	5,000	5,000	-	15,000	Govt	Govt	
	<i>Travel for assessment team &amp; reporting (results no cost)</i>	-	4,000	7,000	9,000	20,000	Govt	Govt	
	<b>2.4.2 Monitor rate of use by Provincial Peoples' Assemblies (PPAs) of PAM/SUFS data</b>					-			
	<i>Accountability &amp; Citizen Engagement Coordinator (Output 2)</i>	25,000	25,000	25,000	25,000	100,000	UNDP	TRAC	

	<i>PST monitor Sessions/interview PPA members /PPA Office staff, &amp; produce report (Main cost covered by PST support - printing report cost here)</i>	-	1,000	1,000	1,000	3,000	UNDP	SDC
	<i>M&amp;E Plan / Gender &amp; activities Output 2</i>	45,979	-	32,512	30,764	109,255	UNDP	SDC
	<i>UNDP Chief Technical Advisor/services</i>	112,500	76,500	40,500	40,500	270,000	UNDP	SDC
	<i>UNDP Programme &amp; Development Effective support</i>	21,703	18,000	18,000	18,000	75,703	UNDP	TRAC
<b>Output 3: Enhanced multi-stakeholder governance processes promoting dialogue and feeding into good governance related policies including the delivery of basic services</b>		<b>565,622</b>	<b>531,380</b>	<b>438,284</b>	<b>446,917</b>	<b>1,982,203</b>		
		<b>3.1 Number of new multi-stakeholder policy discussions facilitated under the GSWG to advance governance and gender issues at the national and provincial levels</b>						
<b>Indicator 3.1</b> Number of new multi-stakeholder policy discussions facilitated under the GSWG to advance governance and gender issues at the national and provincial levels Baseline: 24 (2016) Target: 24 (additional) by 2020	<b>3.1.1 Convene, monitor &amp; report on GSWG/Sub Groups per annual plan</b>					-		
	<i>Convene, monitor &amp; report of GSWG W/S at national &amp; provincial level</i>	100,000	100,000	100,000	100,000	400,000	UNDP	SDC
	<i>Leading Committee</i>	-	-	-	-	-		
	<i>Partnership for Development Effectiveness (IUNV)</i>	80,000	80,000	-	-	160,000	UNDP	SDC
	<i>Support on Local Governance policy</i>	-	-	-	-	-		
		<b>3.2 Number of PSIF proposals that promote partnerships between local administrations and NPAs for improved service delivery</b>						
<b>Indicator 3.2</b> Number of PSIF proposals that promote partnerships between local administrations and NPAs for improved	<b>3.2.1 Design PSIF (Public Services Innovation Facility)</b>					-		
	<i>ITA / National TA</i>	20,000	5,000	5,000	5,000	35,000	UNDP	TRAC
	<i>Travel</i>	5,000	2,000	1,000	1,000	9,000	Govt	Govt
	<b>3.2.2 Award PSIF grants (Civil society/NPAs including DPOs)</b>					-		

<p>service delivery Baseline: 0 (2016) Target: 50 by 2020</p> <p><b>Indicator 3.3</b> Percentage of new public administration policies and regulations that incorporate gender equality measures Baseline: 0 (2016) Target: 95 by 2020</p>	<p><i>National Awareness Workshops/travel/printing on PSIF</i></p>	102,000	-	-	-	102,000	UNDP	TRAC	
	<p><i>Call for EOI</i></p>	3,000	3,000	1,000	-	7,000	Govt	Govt	
	<p><i>Training for interest applicants</i></p>	4,000	16,000	16,000	16,000	52,000	Govt	Govt	
	<p><i>Award PSIF grants (Size &amp; number to be set by guidelines during design above)</i></p>	50,000	150,000	150,000	160,000	510,000	UNDP	SDC	
	<p><i>Monitoring &amp; Lessons learned on PSIF (Follow up &amp; Workshops)</i></p>	4,000	16,000	16,000	16,000	52,000	Govt	Govt	
	<p><i>Knowledge Sharing &amp; dissemination on good practices / effective implementation</i></p>	-	3,000	5,000	5,000	13,000	UNDP	TRAC	
	<p><b>3.2.3 Support on Local Governance policy</b></p>					-			
	<p><i>Support to MoHA on development, consultation &amp; dissemination of policies, decrees and regulations relating to local governance</i></p>	10,000	10,000	10,000	10,000	40,000	Govt	Govt	
	<p><b>3.3 Percentage of new public administration policies and regulations that incorporate gender equality measures</b></p>								
	<p><b>3.3.1 Support MoHA in developing gender mainstreaming approach and gender tools and guidelines</b></p>					-			
	<p><i>Support MoHA in developing gender mainstreaming approach and gender tools and guidelines.</i></p>	4,500	4,500	4,500	4,500	18,000	UNDP	SDC	
	<p><b>3.4.1 Deliver regular policy/law briefings sessions at central level, to MoHA etc.</b></p>					-			
	<p><i>Print relevant new or updated laws / policies &amp; summaries of main points</i></p>	8,880	8,880	8,880	8,880	35,520	UNDP	TRAC	
<p><b>3.4.2 Deliver policy/law briefing sessions to PoHA &amp; PPAs</b></p>					-				



	<i>Travel/Workshops (3 Zones- North Centre South)</i>	27,000	27,000	27,000	27,000	108,000	Govt	Govt
	<b>3.4.3 Develop &amp; finalise Gender and Social Inclusion Action Plan, tools &amp; guidelines for MoHA policy/law briefing sessions to PoHA &amp; PPAs</b>					-		
	<i>Asst PM &amp; partnerships (Output 3)</i>	28,000	28,000	28,000	28,000	112,000	UNDP	TRAC
	<i>M&amp;E Plan/Gender &amp; activities Output 3</i>	17,242	-	11,904	11,537	40,683	UNDP	SDC
	<i>UNDP Chief Technical Advisor/services</i>	75,000	51,000	27,000	27,000	180,000	UNDP	SDC
	<i>UNDP Programme &amp; Development Effective support</i>	27,000	27,000	27,000	27,000	108,000	UNDP	TRAC
	<b>Technical &amp; Management Support:</b>	<b>294,127</b>	<b>285,389</b>	<b>327,640</b>	<b>337,101</b>	<b>1,244,257</b>		
	<b>National Staff and other personnel cost</b>	65,000	65,000	65,000	65,000	260,000		
	<i>Finance Officer</i>	30,000	30,000	30,000	30,000	120,000	UNDP	SDC
	<i>Accountant/Admin</i>	20,000	20,000	20,000	20,000	80,000	UNDP	SDC
	<i>Drivers</i>	15,000	15,000	15,000	15,000	60,000	UNDP	TRAC
	<b>Equipment, Vehicle and Furniture, depreciation</b>	80,000	35,000	35,000	35,000	185,000		
	<i>Transportation/Vehicles running costs</i>	80,000	35,000	35,000	35,000	185,000	UNDP	SDC
	<b>General project support</b>	149,127	185,389	227,640	237,101	799,257		
	<i>Contractual services/IT/etc.</i>	12,000	12,000	12,000	12,000	48,000	UNDP	SDC
	<i>Travel</i>	10,000	10,000	10,000	10,000	40,000	Govt	Govt
	<i>(Mid Term &amp; Final reviews in M\$E Plan activities). Only shareholder oversight events/field missions, etc. here</i>	-	12,000	12,000	12,000	36,000	UNDP	SDC
	<i>Utilities, annual review meetings, translation, printing, etc.</i>	40,000	40,000	40,000	40,000	160,000	UNDP	SDC
	<i>Audit</i>	2,500	2,500		2,500	7,500	UNDP	SDC

	<i>Estimated UN GMS 8%</i>	80,924	108,889	132,404	48,153	370,370	UNDP	SDC
	<i>Estimated UN GMS 8%</i>	3,703	-	0	0	3,703	UNDP	SDC
	<i>Estimated UN GMS 8%</i>	-	-	21,236	112,448	133,684	UNCDF	DP

NOTE 1: M&E support to project includes the M&E Specialist inputs, case study, mid-term and final with next draft of proposal, completion of Digital Map/capacity assessment, baseline and endline) under Evaluation Plan that will be developed during the inception phase.

### 9.2.2 Indicative Year 1 Work Plan<sup>26</sup>

EXPECTED OUTPUTS	PLANNED ACTIVITIES	TIME FRAME 2017				RESPONSIBLE PARTY	PLANNED BUDGET 2017			
		Q 1	Q 2	Q 3	Q 4		Source of Funds	Donor	Budget Description	Amount (US\$)
And baseline, associated indicators & annual targets	<i>List activity results and associated actions</i>									
<b>Output 1: Targeted local administrations are able to develop and finance the implementation of multi-sector work plans based on community priorities</b>										<b>660,827</b>
<b>1.1 Number of district multi-sector project work plans co-financed by the government</b>	<b>1.1 Number of district multisector project work plans co-financed by government</b>									<b>165,100</b>
Baseline: 0 Target: 20 Y1= 0 Y2= 4 Y3= 7 Y4= 9	1.1.1 Upgrade DDF system & guidelines					MoHA / MoF / MPI				<b>59,500</b>
	<i>Consultant Intn</i>		x	x			UNCDF	SDC	Int TA	35,000
	<i>Consultant Nat</i>		x	x			UNCDF	SDC	Local consult.	7,500
	<i>Travel Intn &amp; nat</i>		x	x	x		UNCDF	SDC	Int Travel	7,500
	<i>Workshops/Printing guidelines, etc</i>			x	x		Govt.	Govt.	Workshop	4,500
	<i>Explore areas for practical collaboration DDF &amp; PRF (Workshops/local travel)</i>		x	x			Govt.	Govt.	Workshop	5,000

<sup>26</sup> Year 1 indicative AWP assumes 4 Quarters. This will be reduced to 3 Q for 2017 if/when GIDP is initiated in April 2017

<b>1.2 Percentage of district administration offices that use upgraded project management tools for better planning and budgeting basic services</b>  Baseline: 43% Target: 67% Y1= 0 Y2= 48% Y3= 57% Y4= 67%	1.1.2 Select, approve priority basic services -DDF (BBG/OEBG)					MoHA / MoF / MPI				<b>105,600</b>
	<i>National Awareness Workshops/travel/printing on DDF</i>			x	x		UNCDF	SDC	Workshop	47,600
	<i>OEBG Trg &amp; refreshment trg for Districts/Provinces teams</i>			x	x		UNDP	SDC	Training	42,000
	<i>BBG trg &amp; refreshment trg for District/Provincial teams</i>			x	x		UNDP	SDC	Training	16,000
	<i>PST Support.</i>					MoHA	UNDP		Travel	-
	1.1.3 Award DDF grants (from 2018)					MoF/MoH A/MPI/Districts				-
	<i>OEBG operational grant (DDF) for Districts</i>						UNCDF		Grants	-
	<i>Capital Grants (DDF) targeting local priorities</i>						UNCDF		Grants	-
<b>1.3 Number of new district annual progress reports completed per expected standard</b>  Baseline: 173 Target: 132 Y1= 0 Y2= 18 Y3= 35 Y4= 79	<b>1.2 Percentage of district administration offices that use upgraded project management tools for better planning and budgeting of basic services</b>									<b>36,000</b>
	1.2.1 Set up and maintain standardised record system of services funded and delivered by DDF per district					MoHA / MoF / MPI/ Dist				<b>36,000</b>
	<i>Office equipment /IT</i>				x		UNDP	SDC	Equipt.	36,000
	<i>district learning sessions/trg - done as part of 1.1.2 general DDF trg)</i>						UNDP	SDC	Training	-
<b>1.4 Number of LoTUS/LIFE investment pipeline identified, developed and implemented</b>	<b>1.3 Number of new district annual progress reports completed per expected standard</b>									-
	<b>1.4. Number of LoTUS/LIFE investment pipeline identified, developed and implemented</b>									<b>239,500</b>
	1.4.1 Feasibility/pilot private capital finance for local administration services investments (LoTUS/LIFE)									<b>239,500</b>
	<i>LOTUS/LIFE feasibility study</i>			x	x		UNCDF	Core	Travel	15,000
	<i>Develop LOTUS/LIFE / criteria for Laos (ITA)</i>				x		UNCDF	Core	Int TA	20,000

Baseline: 0 Target: 1 Y1= 0 Y2= 1 Y3= 1 Y4= 1	<i>Develop &amp; maintain LOTUS/LIFE Database</i>					UNCDF	Core	Travel	4,500
	<i>UNCDF Technical assistance to GID</i>	x	x	x		UNCDF	Core	Int TA	200,000
	1.5.1 Design and demonstrate model One Door Service Centre				MoHA/ Dist				<b>220,227</b>
	<i>Design Model ODSC - consultant</i>			x	x	UNDP	SDC	Local consult.	20,000
	<i>National specialist support</i>			x	x	UNDP	SDC	Local consult.	6,000
	<i>Equipment for Model ODSC</i>				x	UNDP	SDC	Equipt.	10,000
	<i>Inclusive Local Service and Development Coordinator (Output 1)</i>	x	x	x		UNDP	TRAC	National staff	25,000
	<i>M&amp;E Plan/Gender &amp; activities Output 1</i>	x	x	x		UNDP	SDC	M&E	51,727
	<i>UNDP Chief Technical Advisor/services</i>	x	x	x		UNDP	SDC	CTA	62,500
	<i>UNDP Programme &amp; Development Effective support</i>	x	x	x		UNCDF	Core	Nat TA	45,000
<b>Output 2: Accountability framework applied at the district level to capture and use citizens' feedback on provision of basic services</b>								-	<b>350,756</b>
2.1 Number of district administrations that use District Service Data Analysis Excel Sheet (DDAS) to analyse rate of multi-sector service provision  Baseline: 2 Target: 9 Y1=2 Y2=4 Y3= 6 Y4= 9	<b>2.1 Number of district administrations that use District Service Data Analysis Excel Sheet (DDAS) to analyse rate of multi-sector service provision</b>				MoHA/ Dist				<b>34,000</b>
	2.1.1 Refine the GPAR D-SDMS tool (DDAS District Service Data Analysis Sheet)								<b>12,000</b>
	<i>Travel &amp; workshops in districts</i>			x	x	UNDP	TRAC	Workshop	3,000
	<i>National consultant to update DSDMS tool (&amp; guidelines/Manuals)</i>			x	x	UNDP	TRAC	Local consult.	9,000
	2.1.2 Pilot test refined D-SDMS/DDAS (in 2 DDF districts)								<b>12,000</b>
	<i>Orientation workshop &amp; training on updated DDAS system in districts</i>				x	Govt.	Govt.	Workshop	6,000
<i>Evaluate &amp; report pilot test results and refine any issues</i>				x	UNDP	TRAC	M&E	6,000	



Target: 7 Y1= 0 Y2= 0 Y3= 4 Y4= 7	<i>Cost of above included in M&amp;E Plan &amp; activities</i>			x	x		UNDP		Travel	
	<b>2.4 Number of districts that implement performance assessment mechanisms (PAM)</b>					MoHA/ Dist				<b>210,182</b>
	2.4.1 Scale up use PAM in 9 districts & share results with the 9 district admin, concerned Province admin./GSWG									5,000
	<i>Orientation &amp; trg workshops in 3 provinces</i>				x		Govt.	Govt.	Workshop	5,000
	2.4.2 Monitor rate of use by Provincial Peoples' Assembly (PPA) of PAM/SUFS data									<b>205,182</b>
	<i>Accountability &amp; Citizen Engagement Coordinator (Output 2)</i>		x	x	x		UNDP	TRAC	National staff	25,000
	<i>M&amp;E Plan &amp; activities Output 2</i>		x	x	x		UNDP	SDC		45,979
	<i>Chief Technical Advisor/services</i>		x	x	x		UNDP	SDC	CTA	112,500
	<i>UNDP Programme &amp; Development Effective support</i>		x	x	x		UNDP	TRAC	Nat TA	21,703
<b>Output 3: Enhanced multi-stakeholder governance processes promoting dialogue and feeding into good governance related policies including the delivery of basic services</b>										<b>565,622</b>
3.1 Number of new multi-stakeholder policy discussions facilitated under the GSWG to advance governance and gender issues at the national and provincial levels  Baseline: 24 Target: 24 (additional) Y1= 6 Y2= 6 Y3= 6	<b>3.1 Number of new multi-stakeholder policy discussions facilitated under the GSWG to advance governance and gender issues at the national and provincial levels</b>					MoHA / MoJ / UNDP				<b>180,000</b>
	3.1.1 Convene, monitor & report on GSWG/Sub Groups per annual plan									<b>180,000</b>
	<i>Convene, monitor &amp; report of GSWG W/S at national &amp; provincial level</i>		x	x	x		UNDP	SDC	Workshop	100,000
	<i>Partnership for Development Effectiveness (IUNV)</i>		x	x	x		UNDP	SDC	Int UNV	80,000
	<b>3.2 Number of PSIF proposals that promote partnerships between local administrations and NPAs for improved service delivery</b>									<b>198,000</b>
3.2.1 Design PSIF (Public Services Innovation Facility)									<b>25,000</b>	

<p>Y4= 6</p> <p><b>3.2 Number of PSIF proposals that promote partnerships between local administrations and NPAs for improved service delivery</b></p> <p>Baseline: 0 Target: 50</p> <p>Y1= 5 Y2= 20 Y3= 20 Y4= 5</p>	<i>ITA / National TA</i>		x	x			UNDP	TRAC	Int./Nat TA	20,000
	<i>Travel (int &amp; national)</i>		x	x			Govt.	Govt.	Travel	5,000
	<b>3.2.2 Award PSIF grants (Civil society/NPAs including DPOs)</b>									<b>163,000</b>
	<i>National Awareness Workshops/travel/printing on PSIF</i>			x	x		UNDP	TRAC	Workshop	102,000
	<i>Call for EOI</i>			x	x		Govt.	Govt.	Workshop	3,000
	<i>Training for interested applicants</i>			x	x		Govt.	Govt.	Training	4,000
	<i>Award PSIF grants (Size &amp; number to be set by guidelines during design above)</i>				x		UNDP	SDC	Grants	50,000
	<i>Monitoring &amp; Lessons learned on PSIF (Follow up &amp; Workshops)</i>				x		Govt.	Govt.	Workshop	4,000
	<b>3.2.3 Support on Local Governance policy</b>									<b>10,000</b>
	<i>Support to MoHA on development, consultation &amp; dissemination of policies, decrees and regulations relating to local governance</i>	x	x	x	x		Govt.	Govt.	Workshop	10,000
<p><b>3.3 Percentage of new public administration policies and regulations that incorporate gender equality measures</b></p> <p>Baseline: 0 Target: 95</p> <p>Y1= 0 Y2= 35 Y3= 65 Y4= 95</p>	<b>3.3 Percentage of new public administration policies and regulations that incorporate gender equality measures</b>									<b>4,500</b>
	<b>3.3.1 Support MoHA in developing gender mainstreaming approach and gender tools and guidelines</b>					MoHA/ UNDP				<b>4,500</b>
	<i>Support MoHA in developing gender mainstreaming approach and gender tools and guidelines.</i>		x	x	x		UNDP	SDC	Workshop	4,500
	<b>3.4.1 Deliver regular policy/law briefings sessions at central level to MoHA etc.</b>					MoHA/ Prov/Dist				<b>8,880</b>
	<i>Print relevant new or updated laws / policies &amp; summaries of main points</i>		x	x	x		UNDP	TRAC	printing	8,880
	<b>3.4.2 Deliver policy/law briefing sessions to PoHA &amp; PPAs</b>					MoHA/ Prov/Dist				<b>174,242</b>

	<i>Travel/Workshops (3 Zones- North Centre South))</i>			x	x			Govt.	Govt.	Travel	27,000
	<i>Assistant of Project Manager and Partnership (Output 3)</i>	x	x	x	x			UNDP	TRAC	National staff	28,000
	<i>M&amp;E Plan &amp; activities Output 3</i>	x	x		x			UNDP	SDC	M&E	17,242
	<i>Chief Technical Advisor/services</i>							UNDP	SDC	CTA	75,000
	<i>UNDP Programme &amp; Development Effective support</i>							UNDP	TRAC	Nat TA	27,000
	<b>Technical &amp; Management Support:</b>										<b>294,127</b>
	National Staff and other personnel cost										<b>65,000</b>
	<i>GPAR Finance Officer</i>		x	x	x			UNDP	SDC	National staff	30,000
	<i>Accountant (PSIF) /Admin</i>		x	x	x			UNDP	SDC	National staff	20,000
	<i>Drivers</i>		x	x	x			UNDP	TRAC	National staff	15,000
	Equipment, Vehicle and Furniture, depreciation										<b>80,000</b>
	<i>Transportation/Vehicles running costs</i>		x	x	x			UNDP	SDC	Support cost	80,000
	General support										<b>149,127</b>
	<i>Contractual services/IT/etc</i>		x	x	x			UNDP	SDC	Support cost	12,000
	<i>Travel</i>							Govt.	Govt.	Support cost	10,000
	<i>Utilities, annual review meetings, translation, printing, etc</i>		x	x	x			UNDP	SDC	Support cost	40,000
	<i>Audit</i>				x			UNDP	SDC	Audit	2,500
	<i>Estimated UNDP GMS 8%</i>		x	x	x			UNDP	SDC	GMS	80,924
	<i>Estimated UNDP GMS 8%</i>		x	x	x			UNDP	SDC	GMS	3,703
	<b>Grand total</b>										<b>1,871,332</b>
*NOTE: Above Year 1 Indicative Work Plan & Budget assumes 4 Quarters / full year. <b>Actual AWP will be reduced according to actual number of Quarters.</b>											



### **9.2.3 Resources Required to Achieve the Expected Results**

The UN recruited technical support will support the programme during the initial years, while functions and skills are gradually transferred to MoHA staff as part of an exit strategy. This is in line with a phased reduction in external support, and has a corresponding reduction in overhead costs of this programme, as more skills and responsibilities are transferred to MoHA staff from GIDP.

#### **Overarching human resources**

- Programme staff: Chief Technical Adviser (CTA), UNCDF Technical Assistance, three programme Output Coordinators (Local Finance -PFM, Accountability and Partnership), International UNV (2 years), local Finance Co-coordinator, GPAR-PSIF Accountant/Office Administrator, and Driver(s)
- MOHA staff assigned and other government staff time (contribution in kind)

#### **Contracted Services**

- Monitoring and Evaluation Specialist (international and national)
- Gender and Ethnic Inclusion Consultant (international or national)
- GIS/Digital Data Mapping Service (international and national)
- Information Communication Technology Service (ICT) (national)

### 9.3 GPAR SCSD / NGPS achievements and Lessons

SDC supported two core programmes within the government’s National Governance and Public Administration Reform programme (NGPAR); Strengthening Capacity and Service Delivery of Local Administration (GPAR SCSD 2012-December 2016) and the National GPAR Programme Support Programme (GPAR NGPS 2012- June 2016).

- I. GPAR SCSD programme was designed to help increase the capacity in the local administration leading to better delivery of services, which improve the lives of the poor, especially in rural areas of Lao PDR. It sought to attain its objective through the achievement of two main outcomes that relate to improved policies and frameworks, and improved ability of local administration to fulfil service delivery mandates.
- II. The overall objective of GPAR NGPS programme was to strengthen the capacity of public administration to deliver efficient, effective and accountable services to citizens through high-level oversight and leadership, strategic management, and support an effectively operating Governance Sector Working Group (GSWG).

The overall experience from the NGPAR Programme indicate that the mechanisms it promoted can have a significant and scalable contribution to enhancing inclusive service delivery and local development. Being a programme that emphasises the strengthening and financing of district authorities, GPAR has emerged as a strong platform to deepen the engagement between communities and the local authorities, and to continue to move towards fiscal decentralisation and self-reliant local development. GPAR has pioneered and demonstrated deeper reflection on local development priorities and plans, and in channelling greater financial support from the state budget for expanding local infrastructure and delivering services.

With a programme footprint that is operational in nearly half the districts of the country and which leverages MoHA's downstream offices at the provincial and district levels, the NGPAR programme offers an effective platform to roll out well-targeted interventions in selected districts. These can make definitive contributions to enhancing inclusive service delivery and local development and to increasing dialogue and collaboration between citizens and state for more effective service delivery.

The different achievements and lessons learned through these programmes greatly contributed to define the GID programme’s theory of change and strategy as described below (Section 9.5 Programme Logic Explanation).

Area / topic	Key achievements of GPAR NGPS and GPAR SCSD
High-level ownership and multi-stakeholder governance process promote dialogue	<p>A <b>new Leading Committee, chaired by the Deputy Prime Minister</b>, established and provides regular oversight and guidance on governance matters and relevant government policy. <b>NGPAR Programme Board established, chaired by Vice Minister</b> of MoHA, provides assurance and guidance for the effective implementation of the NGPAR programme and projects.</p> <p><b>Governance Sector Working Group (GSWG) and 2 sub-groups met frequently each year to discuss a wide range of governance issues</b>, - such as proposed draft legislation, people’s participation, corruption, new local assemblies, CSO registration and administration, new legal code, government’s Sam Sang policy, amendments to Constitution, etc. Participants were drawn from government, development community, diplomatic representations, civil society and other stakeholders. GSWG</p>

	<p>participated in the annual Round Table Meeting (RTM) process, providing for high level dialogue on governance and development issues between Lao Government and international partners.</p>
<p>Local administration capacity and regulatory advances.</p>	<p><b>Strengthen the capacity of local administration to provide more responsive services and self-reliant local development</b> through (i) support to the implementation of government’s national devolution initiative, Sam Sang (“3 Builds”), (II) updates to local administration laws, mandates and regulations and (iii) through the operation of the District Development Fund (DDF).</p> <p><b>The Law on Government and Law on Local Administration were ratified by the National Assembly</b> in December 2015. These laws clarify the roles and responsibilities between the offices of the Prime Minister, Deputy Prime Minister, Ministers and Heads of Ministry-equivalent organization, and clarify further the mandates, roles and functions between levels of government and administration. The amended Law on Local Administration also aims to promote a better relationship between provincial authorities and the National Assembly Constituency Offices and collaboration with mass organizations and civil society to engage in public sector development activities.</p>
<p>Strengthen local administrations to develop and finance the delivery of multi-sector plans based on community priorities - District Development Fund (DDF)</p>	<p>The <b>DDF can use the government’s own systems and staff to provide untied block grants to 53 District administrations</b>, enabling them to engage meaningfully with local communities to identify and provide services related to their priority services/SDGs needs. No need for parallel delivery system; - cheaper delivery and sustainable approach.</p> <p>DDF has directly <b>improved the capacity of 2,580 local officials (427 women), in planning, procurement, financial management and reporting to deliver local priority services.</b></p> <p><b>225,853 Households, (1,219,693 People- 612,228 women) benefited from 102 DDF local service investments and 578 other (non-capital) local services interventions.</b></p>
<p>One Door Service Centres (ODSC)</p>	<p>GPAR SCSD supported <b>new ODSC guidelines and Prime Minister Ordinance 09/2013</b> and lessons learned exercises on the implementation of ODSCs. Carried out an <b>independent assessment of ODSC, with follow-on work</b> on service level benchmarking being supported by another NPGAR project in 2016-17.</p>
<p>Support strategic innovations in public administration (CADEM)</p>	<p>Awarded <b>76 small scale grants to public service agencies to promote a variety of improvements and innovations in public sector</b>, with total value of approximately \$552,000 (USD). Of these 43 were to strengthen the capacity of organizations, public service</p>

	and legislation development; 18 grants made for Sam Sang policy implementation; 13 grants for gender promotion; and 2 grants for environment protection.
Accountability framework developed for citizen feedback and responsive service delivery.	<p><b>Two innovations were designed and piloted to encourage more participative, accountable and responsive local service</b> delivery. Field trials on the District Service Delivery Monitoring System (D-SDMS) and Service User Feedback Survey (SUFS) test surveys carried out in 2 pilots in late 2015. The SUFS is seen as a particularly significant innovation and offers a basis for future development (in the new phase of support to NGPAR) of a more comprehensive public administration performance index.</p> <p>Introduced and <b>assessed the comparative performance of 12 district administrations using 21 indicators</b> covering planning (10 indicators), Financial Management &amp; Procurement (3 indicators), Execution &amp; Service Delivery (5 indicators) and Accountability &amp; Transparency (3 indicators). The scores achieved affect the future fiscal assignments (DDF) to each District, as a way of incentivizing better performance of each District Administration.</p>

<b>Conclusions from the Mid-term Evaluation Report of GPAR SCSD and GPAR NGPS</b> (Larrabure et al, Report February 2015)	<b>GID Programme design (2017-2021)</b>
<p><u>GPAR effectiveness - relevance &amp; links to national objectives</u></p> <p>The programme, as such, is quite relevant as it is inserted in the national effort to improve the efficiency of public service and decentralize resources and responsibilities to strengthen the role of local governments and communities in the development process. The programme is also the main source of support for the Governance Sector Working Group (GSWG) which is the key forum at the disposal of the Government to inform, analyse and hold discussions on governance issues with its Development Partners (DPs)</p>	<p>The programme continues its unique positioning vis a vis high level national leadership (Leading Committee on Governance, chaired by the Deputy Prime Minister), alignment to national and sector policies, and to enable the functioning of the GSWG.</p> <p>The programme is aligned to the overarching strategic framework for governance reform in Lao PDR, the 8<sup>th</sup> NSEDP<sup>27</sup> and to emerging government devolution protocols, Sam Sang policy implementation, and to the recently established Provincial People’s Assemblies, as well as with existing government planning systems. GIDP also draws on the vision 2016-2030 and strategic plan 2016-2025 of the Home Affairs sector developed by MOHA.</p>
<p><u>Exit plan</u></p> <p>The international and local programme staff is crucial to NGPAR in discharging its core and programme management responsibilities and therefore an “exit</p>	<p>An actionable exit plan will be produced jointly with MOHA to encourage senior management to continue to apply management practices that are evaluated as relevant and effective for the</p>

<sup>27</sup> NSEDP National Socio Economic Development Plan (8th plan is 2016-2020)

<p>strategy” that transfers knowledge and task management capacity to permanent government staff is required if goals such as graduating from LDC status by 2020 are to be achieved.</p> <ul style="list-style-type: none"> <li>• Consideration should be given to both projects maintaining a single management structure, under a single International Staff as CTA, managing both projects including the DDF component.</li> <li>• More UNVs be brought to bear in support of the both components as well as one to work on cross-cutting issues such as gender.</li> </ul>	<p>reform of public administration. There will be also be a phased reduction in external support (and a corresponding reduction in overhead costs of this project, as reflected in the multiyear budgets) as more skills and responsibilities are transferred to MoHA staff from GIDP.</p> <p>GIDP budget envisages 1 CTA (with phased reduction in input/time), with other specific technical inputs as required.</p> <p>IUNV included in proposed GIDP budget</p>
<p><u>CADEM Fund</u> The operations funded are scattered geographically, by level, by institution and by subject. All of this leads to believe training may have limited impact and sustainability.</p>	<p>Based on the findings from the evaluation of GPAR SCSD<sup>28</sup>, GIDP will recast the existing Capacity Development and Modernisation Fund (CADEM) to become a new Public Service Innovation Facility (PSIF). PSIF will focus on activities to address chronic bottlenecks in the provision of local services, or to address a specific service problem or priority and generally improve the quality, relevance and an alignment of basic services.</p> <p>PSIF will also encourage proposals that have a multi-sectoral approach and proposals jointly made by local administration and civil society/NPAs/including women, youth and disabled people’s organizations, as a practical way of engaging the wider community and administration in local service improvements, and building a positive working collaboration and helping to promote an enabling environment for non-government actors.</p>
<p><u>One Door Service Centres (ODSC)</u> The impact of the ODSCs to date is practically non-existent. The Mission attributes this to a civil service culture of “compartmentalization” by various Ministries that guard control over their services as well as protects income derived from fees. However, the Evaluation Mission coincides fully with the view expressed to it by the Head of the GPAR Secretariat that the concept of the ODSC is a very important one that needs to be piloted again in a more restrained geographic environment.</p>	<p>During 2016 GPAR SCSD projects carried out an independent assessment of ODSC, with follow-on work on service level benchmarking being supported by another NGPAR project (GPAR SLIFEPA<sup>29</sup>) in 2016-17.</p> <p>GIDP will build on these actions, the resultant service levels and process improvements, and focus on designing and demonstrating a Model ODSC in 2 locations (one rural and one central).</p>

<sup>28</sup> Laraburre et al, 2014

<sup>29</sup> GPAR Strengthening Legal and Institutional Frameworks for Effective Public Administration

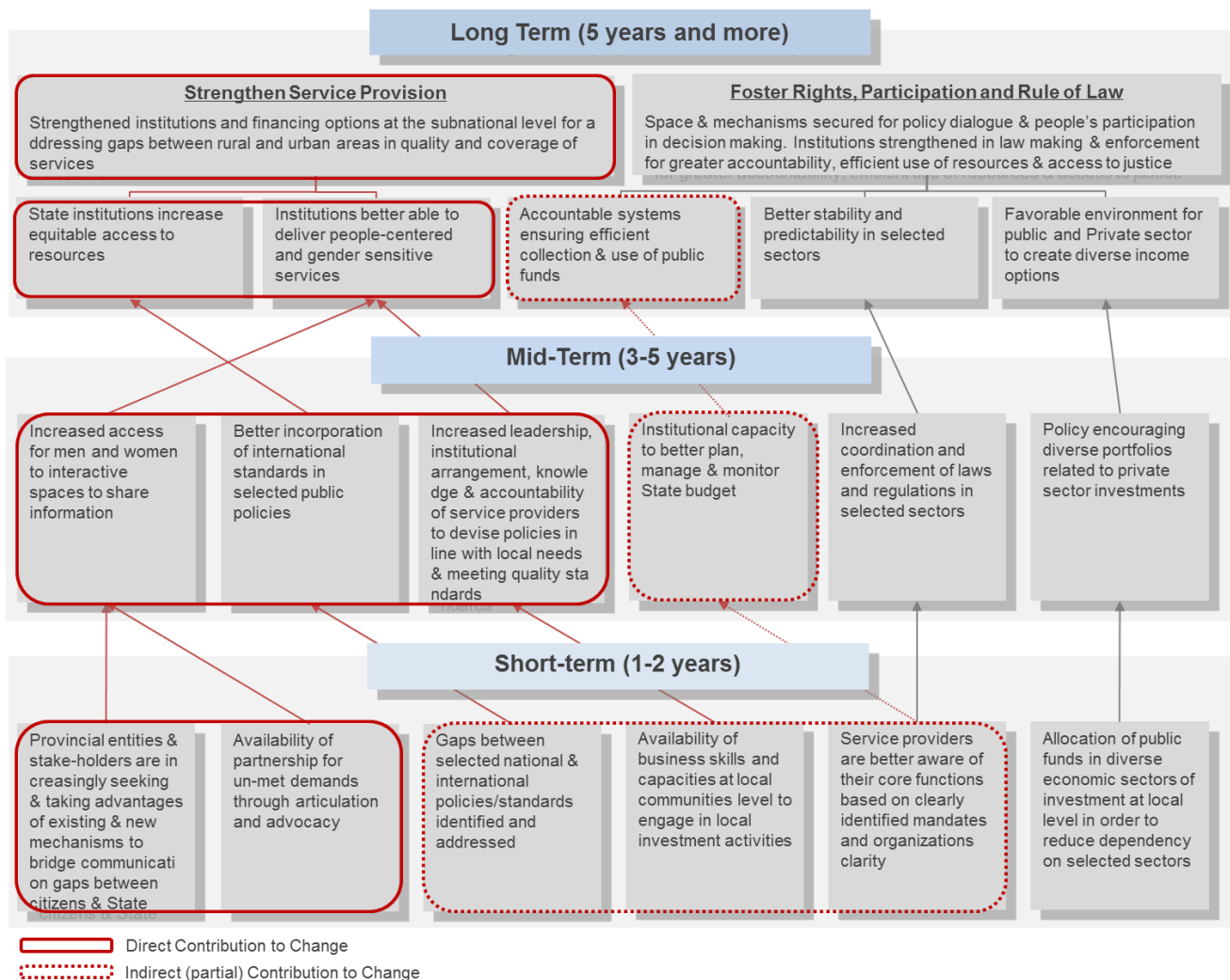
<p><u>M &amp; E</u> Both projects were not designed with a log-frame logic (one that includes pre-defined S.M.A.R.T baseline and success indicators and agreed means of verification). Projects should agree on relevant “baseline indicators/success indicators” amongst stakeholders that would allow M &amp; E to measure results / impact.</p>	<p>GIDP has a log-frame with clear outcome, baselines, targets, and outputs indicators.</p> <p>The project inception phase will produce a formal ‘M&amp;E Plan’ framework that enables MOHA to manage their monitoring workloads at the central and sub-national levels and the Secretariat to coordinate M&amp;E responsibilities and deliverables. GIDP will refine the outcome statement using rubrics analysis to provide a big picture scenario and a sense of how things might progress through observed situational changes.</p> <p>Geographic Information Systems (GIS) Maps will capture information on a) the percentage of public services prioritised as very important by women and by ethnic groups and b) the number of villages where people convey a clear sense of satisfaction / dissatisfaction with the quality of services provided by districts.</p>
<p><u>District Development Fund (DDF)</u> The DDF has been and continues to be a very worthwhile investment. Its approach has proven that given a decentralization of untied resources and appropriate training, it is possible to carry out successfully a fully participatory planning model at the district level. However, the Evaluation Mission feels it is time to tie it to other related efforts in the country with a view to “scaling up” both financially and substantively. To do this, the mission suggests also complementing the model with the introduction of other potential development partners such as local civil society organizations, public/private partnership initiatives and others.</p> <ul style="list-style-type: none"> <li>• The DDF should also concentrate resources in a small number of districts, in an attempt to “showcase” a comprehensive model that can assist the District authorities address simultaneously ALL the basic development needs of a set of villages in a District.</li> <li>• The PRF could benefit from the DDF’s experience in working with and through the district authorities and the DDF could benefit from the experience of the PRF working nationwide and at a larger scale. It believes that a pilot exercise where the PRF would take a small amount of funding and provided to one two or three district authorities as an “untied budget” using the DDF experience. To</li> </ul>	<p>GIDP intends to select a limited number of districts (9) to bring to bear a number of related initiatives for a more comprehensive and service-looping approach. This includes, upgraded DDF capacity and service grants, district service level monitoring, citizens’ satisfaction surveys, comparative performance assessments of the district administration, and probably PSIF-funded NPAs (including women, youth, disabled people’s organizations) service supports.</p> <p>GIDP requires a multi-stakeholder updating of DDF guidelines during the first 6 months of GIDP. Upgraded DDF to potentially include:</p> <ul style="list-style-type: none"> <li>• Stronger strategic planning role by Province</li> <li>• Link new People’s Provincial Assemblies to DDF plans/budget approvals and results monitoring;</li> <li>• Revised DDF guidelines to require a % of DDF projects are co-funded from the sectors provincial budgets e.g. a school co-funded from provincial education state budget</li> <li>• Promote gender budgeting</li> <li>• Strong focus on the marginalized including women, youth and ethnic groups</li> </ul>

<p>increase both “ownership” sustainability and funding capacity of such a scheme:</p> <ol style="list-style-type: none"> <li>1) Commitment to provide (from its existing sectoral budget allocations) a fixed percentage as un-tied budget to meet District /Community priorities identified as part of the DDF planning (maybe 10% for the first year of such a programme for example)</li> <li>2) PRF should be approached to join this effort</li> <li>3) Local civil society organizations and the local private sector should be encouraged to support this effort</li> <li>4) Other UN agencies such as UNICEF, WFP, FAO, UNESCO, UNFPA and UN Women could also be encouraged to support this effort.</li> </ol>	<ul style="list-style-type: none"> <li>• Position DDF as ‘basket-fund (untied)’ for district investments into which other sources of funds could participate under District Administration management, e.g. PRF, NGO, UN Agencies, etc.</li> </ul> <p>GIDP also provides an opportunity to establish the potential for funding for local development through the use of private sector/capital.</p>
<p><u>Gender &amp; Ethnicity</u></p> <p>The Evaluation Mission believes that higher levels of participation could have been achieved among women and ethnic groups, had gender equality perspectives and Gender-Inclusive methods been applied.</p> <p>It will be a most welcome innovation if such gender-responsive design and implementation will be demonstrated in all components in the future.</p>	<p>Based on lessons from NGPAR-SCDC, this programme (GIDP) will develop a simple-to-use Gender and Inclusion Action Plan jointly with MOHA to ensure gender equity and inclusion are understood and implemented in programmatic, rather than conceptual/abstract terms. The upgraded DDF approach will use gender-sensitive budgeting which is linked to the New Budget Law (2015). Preliminary elements for a gender and inclusive action plan are included in Annex to programme document.</p>

## 9.4 Programme Logic Explanation

Project theory comprises two core elements: the theory of change and programme logic.

The type of change proposed in the GIDP takes time to materialise. In theory, the process is expected to proceed through the four stages. *Readiness* is the stage where MOHA, relevant ministries and local administrations reach consensus on the need for change and that the proposed new behaviours (e.g. target based DDF allocations, service accountability /monitoring and new partnerships) are likely to be the right solution. It is assumed their commitment to using improved DDF and monitoring practices has not changed since the existing GPAR SCSD<sup>30</sup> project and will continue under GIDP.



**Figure 5 Theory of Change at CPD level**

*Adoption* is the stage when MOHA, relevant ministries and local administrations try new ways of working to confirm that they are an appropriate solution and that individuals and groups within those agencies can implement the new behaviours (e.g. multi-sector planning is streamlined and linked to village priorities). The rate of staff turnover at the district level is assumed to be reasonably limited for key officials (i.e. officials who have received learning and information from GIDP).

<sup>30</sup> GPAR Strengthening Capacity of district administration for Service Delivery



*Commitment* is the stage when MOHA, relevant ministries and local administrations start to make new ways of working 'typical'. At this stage, there has to be a *proactive* engagement and support from officials who have been committed to improve governance practice in the past. Moreover, there should be a set of procedural changes that can be observed and monitored (e.g. assigning realistic budgets for outreach work and citizen's engagement in the planning processes and/or evidence of budgetary linkages to address off-track SDGs in targeted locations). Since the programme has no control of where highly committed officials (who adopt good governance practice) will be deployed, any evidence of commitment is expected to materialise in some, rather than all local administrations. It is assumed that senior officials, including government representatives at the Programme Board level who have endorsed the new governance practices will be proactive in motivating teams to focus on graduating from LDC status and addressing off-track SDGs in their provinces, districts and kumbans. As government officials continue to use new ways of working, they should be able to see what is in it for them and be motivated to continue to work as agreed.

*Institutionalisation* is the stage when an organisation such as MOHA and the local administrations (governors' office) integrate those behaviours into their processes, rules and systems without project inputs from UNDP/UNCDF (e.g. actually implementing plans linked to NSEDP targets or national sector strategies with the necessary financial and human resources). It is unlikely that a short-term project such as GIDP will lead to institutionalised practices on its own, but serve more as a valuable building block in an ongoing longer-term process. The sequence of organisational changes expected from the project are complex and subject to shifts precisely because it operates in a context of a one party political system where decision-making powers are concentrated and can be opaque and open to shifts in direction.

## **Change Statement**

The programme's outcome level change is to increase local institutions' coverage of basic services and include citizens' feedback in the planning cycle for service provision by 2020, which is in line with the change specified in the CPD (Outcome 3).

The programme intends to contribute to this outcome-level change through 3 pathways:

- Supporting targeted local administrations to be able to develop and finance the implementation of multi-sector work plans based on community priorities
- Applying accountability frameworks at the district level to capture and use citizens' feedback from provision of basic services
- Promoting dialogue and feeding into good governance related policies through enhanced multi-stakeholder governance processes with regards to the delivery of basic services.

The programme's strategy appears to be the best approach at this point in time because:

- It is built on good practices and lessons learned from UNDP's 20 years of collaboration with the Government in the area of public administration reform
- It has been designed following the Ministry of Home Affairs' national priorities and strategy according to the 8<sup>th</sup> 5 year National Socio-Economic Development Plan for 2016-2020
- It capitalizes on the results achieved and lessons learned in the framework of UNDP's current phase of support to local administrations' service delivery and capacities (related

results and achievements are further described in Section 9.3 GPAR SCSD / NGPS achievements and lessons)

- It has been defined through an extensive consultative process with both national stakeholders and development partners.

The programme is premised upon a series of changes in governance of local administrations. These changes should be observable before basic services can be expected to consistently reach service users:

If district and provincial officials effectively target basic services as a result of accountability /performance measures and they listen to feedback from service users;  
And if informed service users, especially from remote locations in Laos, give feedback on the relevance and quality of public services received as a result of 'service awareness raising' interventions;

And If government officials know which policies are being improved and need to be implemented, they are motivated to use multi-stakeholder partnerships, use relevant public administration tools and ensure that delivery of basic services is co-financed;

Then local governance mechanisms will improve and begin to reflect the priorities of services users, particularly those who have received disproportionately fewer basic services;

Because motivated, skilled local authority representatives prioritize the provision of basic services to citizens most in need and they also contribute to the national goal of graduating from least developed country status by 2020-2025.

The GDP Theory of Change allows for flexibility and shows the types of changes expected at the output and outcome levels.

## 9.5 Gender and ethnicity inclusion

Based on lessons from NGPAR-SCDC, this programme will develop a simple to use Gender and Inclusive Action Plan jointly with MOHA to ensure gender equity and inclusion are understood and implemented in programmatic, rather than conceptual/abstract terms. Preliminary elements for a gender and inclusive action plan.

- The plan will specify what data is disaggregated by sex, age, disability, and ethnicity for primary and secondary beneficiary groups.
- Build gender mainstreaming capacity of the Commission for the Advancement of Women in MOHA, which includes the organization of gender trainings and development of gender tools.
- Create a specific affirmative action for women and ethnic staff in leadership position.
- Capital investment projects will be required to report the number of women and ethnic profile of those who benefit from the investment.
- There is an option to use case study methodology to profile whether and *in what ways* the DDF has affected the lives of women, men and ethnic communities.
- PSIF funds will support bids that are committed to finding concrete and verifiable ways to alleviate the burden of extra duties on women who are tasked with domestic and productive duties as well as attending village/formal meetings to give feedback on the relevance and quality of basic services received. PSIF funds will also develop a set of criteria that explicitly targets women and ethnic inclusion particularly where groups are reported to have received disproportionately fewer basic services.
- With regards to DDF, the guidelines will be updated to promote districts to apply gender-sensitive budgeting as part of their proposal development process. Funds will also be made available to assist *kumban* and women representatives to give feedback on the progress or delays in basic services planned for by local administrations, when they travel to district of provincial offices.
- To address ethnic language issues, Geographic Information Systems (GIS) service data maps will use pictorial representation alongside Lao language to capture the coverage of basic services per village/district.
- The programme indicators will be reported with gender and social inclusion clearly in mind and activities will be costed to ensure implementation according to detailed annual plans.

## 9.6 Stakeholder environment

### Multi-Stakeholder Partnerships for Coordination and Policy Integration

Key Stakeholder Group/Institutions		Key Areas for Coordination and Policy Integration
<b>National/Central Level of Administration</b>		
<b>Key Ministries</b>	<b>Ministry of Home Affairs (MoHA)</b>	Secretariat of the National Leading Committee on Governance Reform and of the National NPGAR Programme Board; Lead Implementation Ministry of GDP; Improvement of the overall governance and public service delivery system, local administration, civil service management, gender in public administration and MoHA, citizen and CSOs management, ethnic-religion organization matters
	<b>Ministry of Finance (MoF)</b>	Draft and update budget law; Consider and adopt annual budget allocation plan according to the Government approval; Revenue and public expenditure management; Revenue collection and sharing between the central and local levels; Hearing of the audit report and budgetary report; Improvement of the public financial management system
	<b>Ministry of Planning and Investment (MPI)</b>	Guidelines on integrated and participatory socio-economic development planning and implementation and public investment programme management process (e.g. National Socio-Economic Development Plans, Provincial Socio-Economic Development Plans, District Socio-Economic Development Plans, Public Investment Plans at the central and local levels)
<b>Other Sector Ministries &amp; Government Offices</b>	Ministry of Natural Resources and Environment (MoNRE), Ministry of Agriculture and Forestry (MAF), Ministry of Public Works and Transport (MoPWT), Ministry of Industry and Commerce (MIC), Ministry of Energy and Mines (MEM), Ministry of Public Health (MPH), Ministry of Education and Sports (MES), Ministry of Science and Technology (MoST), Lao Statics Bureau (LSB) etc.	Sector strategies, policies, planning, budgeting and implementation
<b>Sub-national/Local Level of Administrations (Law on Local Administration):</b> In accordance with the <b>principles of centralized democracy, unified leadership and de-concentration and the Sam-Sang directive</b> , which divides responsibility among management levels, the village level reports to the district level, the district level reports to the provincial level and the provincial level reports to the Government under the guidance and responsibility of the Party Committee based on the constitution and laws.		
<b>Provincial Level: Provinces &amp; Cities (Strategic Unit)</b>	<b>Provincial /City Administrations</b> , headed by the Provincial Governors/Mayors, comprise Provincial/City Cabinets (the Chiefs and Deputy Chiefs of the Provincial/City Cabinets) and the field offices of the line ministries and equivalent organizations (Directors)  <i>* DDF implementation coordination mechanism (in place):</i>  <b>Provincial Support Team (PST)</b> – Chaired by Chief of Provincial Cabinet and key line departments including Provincial Office of Home Affairs (PoHA), Department of Planning and Investment (DPI), Department of Finance (DoF), Provincial Office of Natural Resources and Environment (PoNRE) and other line ministry departments and offices.	Under the delegated responsibility by the Government, the Provincial/City Administrations manage the territory, natural resources and population, and as the <b>budget holder</b> of the local level of administrations (Budget Law 2015) prepares <b>socio-economic strategies and development plans, budget plans, annual budget amendments and adjustments, consideration of investment projects</b> , and defence and security plans of the provinces and cities based on national strategic plans.

	<b>Provincial People's Assemblies (PPAs) newly elected on March 2016</b> as a new tier of representing the rights and benefiting the multi-ethnic people in the provinces	The key roles and responsibilities of PPAs in the area of socio-economic development in the provinces include PPAs collaborating with the local administrations in the planning of income collection, provincial annual expenditure, and submit to the local administration to be forwarded to the Government; draft the annual budget plan for the local unit based on the recommendation of the Provincial Governors and Chiefs of Municipality; establish policy that will promote the incentive on custom and tax exemptions in line with the law; and establish plans on rural development and poverty elimination (Law on PPAs).
<b>District Level: Districts and Municipalities (Integration Unit)</b>	<b>District/Municipal Administrations</b> , headed by the Chiefs of Districts/Municipalities, comprise District/Municipal Cabinets (Chiefs and Deputy Chiefs of the District/Municipal Cabinets) and the field offices of the line ministries and equivalent offices in the district (Directors); <i>* DDF implementation coordination mechanism (in place):</i> <b>District Development Support Committee (DDSC)</b> - Chaired by District Vice Governor and relevant field offices as members; <b>District Development Support Team (DDST)</b> - Technical Officers from the relevant field offices as members	District/Municipal Administrations prepare <b>socio-economic strategies and development plans, budget plans, annual budget amendments and adjustments, consideration of investment projects</b> and security plans of the districts and municipalities based on provincial strategic plans and ensuring the timely and accurate accounting of revenues in the district; and motivate, promote and facilitate the participation of the Lao Front for National Construction (LFNC), mass organizations, CSOs and all economic parties and ethnic people in the socio-economic development of the district
<b>Village Level: Khumban &amp; Villages (Implementation Unit)</b>	<b>Village Administrations</b> at the grass root level, headed by the Village Chiefs, comprise Deputy Chiefs and some functional units	Under the supervision of the Districts/Municipalities, the Village Administrations implement and manage the socio-economic development plans and investment projects of the village, report on the implementation of the planned activities of the village, and ensure security and order, protect/preserve natural resources and the environment within the village.
<b>UN agencies and development partners</b>		
<b>Multilateral agencies</b>	<b>UNDP, World Bank, ADB and others</b>	Cooperation with other UNDP projects such as 'Support Programme to the Legal Sector Master Plan' (i.e. rule of law and access to justice) and the National Assembly Strategic Support Project (i.e. governance); Cooperation with the Poverty Reduction Fund (PRF) supported by WB; Cooperation with ADB in its support to strengthening PFM system
<b>Bilateral agencies</b>	<b>SDC, EU and others</b>	Cooperation with the new EU/SDC bilateral project, which includes governance and public service improvement topics.

## 9.7 Social and Environment Screening

### Project Information

<b>Project Information</b>	
1. Project Title	National Governance and Public Administration Reform (GPAR) Programme - Governance for Inclusive Development Programme (GIDP)
2. Project Number	
3. Location (Global/Region/Country)	Country (Lao PDR)

### Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

#### **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?**

##### ***Briefly describe in the space below how the Project mainstreams the human-rights based approach***

The GIDP supports the government's strong desire to strengthen its public administration's ability to achieve the goals of better service delivery, promote wider governance improvements and increase citizens' systematic engagement, especially at the local levels where basic services are coordinated, planned, tracked and reported. Hence the programme uses a Human Rights based approach since it seeks to empower people (right holders) to realize their rights of accessing basic public services at the provincial level, while supporting the Government (duty bearer) to strengthen its capacity in terms of public service delivery in the targeted areas.

##### ***Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment***

Gender will be mainstreamed into all GIDP initiatives, guidelines, innovations etc. as a practical and cost-effective way of institutionalizing good gender practices within the national and sub-national administration.

A simple-to-use Gender and Inclusive Action Plan and performance standards will be developed jointly with MOHA to ensure that gender equity and inclusion are understood and implemented in programmatic, rather than conceptual / abstract terms.

Also, accountable data disaggregated by sex will be collected and analysed through the refined SUFS to assist local administrations to allocate resources based on evidence.

##### ***Briefly describe in the space below how the Project mainstreams environmental sustainability***

All activities of the programme will adhere to the objectives and requirements of the UNDP Social and Environmental Standards (SES).

## Part B. Identifying and Managing Social and Environmental Risks

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b></p> <p><i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b></p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p><b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b></p>
<p><b>Risk Description</b></p>	<p><b>Impact and Probability (1-5)</b></p>	<p><b>Significance (Low, Moderate High)</b></p>	<p><b>Comments</b></p>	<p><b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider potential impacts and risks.</b></p>
<p>Risk 1: Duty-bearers do not have the capacity to meet their obligations in the programme</p>	<p>I = 4 P = 4</p>	<p><b>H</b></p>	<p>Learning by doing support given to GoL officials, coaching provided by technical adviser</p>	<p>UNCDF will institute standards and criteria for making decisions on awards for seed funding of local development initiatives that involve small infrastructure works. Major works not expected.</p>
<p>Risk 2 Rights-holders do not have the capacity to claim their rights</p>	<p>I = 4 P = 4</p>	<p><b>H</b></p>	<p>Right holders have to be aware of what services are planned for in their villages.</p>	<p>The basic services are health, education etc. and not related to environmental damage. NPA/CSO and local administration will receive grants to conduct outreach work to confirm which services are being provided, to whom, approximately when and who will deliver those services.</p>
<p>Risk 3: Reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits</p>	<p>I = 4 P = 3</p>	<p><b>M</b></p>	<p>Laos is a patriarchal society and differences in role and status of women in rural areas is present.</p>	<p>Gender Action plan will be developed with MOHA to address the balance of benefits (via basic services) by women and men in target villages. Data will be collected to reveal whether disparities exist during the implementation period and will serve as evidence for Programme Board to institute corrective action either in terms of allocating more human resources for outreach work and a small package of goods to women /men participating in feedback meetings to offset time and income lost in livelihoods.</p>
<p>Risk 4: Capital investment activities from UNCDF seed capital may be within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. natural</p>	<p>I = 2 P = 2</p>	<p><b>L</b></p>	<p>Project adheres to national standards/decrees and will not impinge on forest reserves, protected areas or risk areas</p>	<p>UNCDF will institute standards and criteria for making decisions on awards for seed funding of local development initiatives that involve small infrastructure works. Major works not expected.</p>

reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities			which may cause physical hazards	
[add additional rows as needed]				
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
<b>Select one (see <u>SESP</u> for guidance)</b>			<b>Comments</b>	
<i>Low Risk</i>		<input type="checkbox"/>		
<i>Moderate Risk</i>			Related to social impact, not negative environmental impact	
<i>High Risk</i>		<input type="checkbox"/>		
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>				
Check all that apply			<b>Comments</b>	
<i>Principle 1: Human Rights</i>			No risks	
<i>Principle 2: Gender Equality and Women's Empowerment</i>			See 9.8 Risk Log	
<i>1. Biodiversity Conservation and Natural Resource Management</i>		<input type="checkbox"/>	No risks	
<i>2. Climate Change Mitigation and Adaptation</i>			No risks	
<i>3. Community Health, Safety and Working Conditions</i>		<input type="checkbox"/>	No risks	
<i>4. Cultural Heritage</i>		<input type="checkbox"/>	No risks	
<i>5. Displacement and Resettlement</i>		<input type="checkbox"/>	No risks	
<i>6. Indigenous Peoples</i>			See 9.8 Risk Log	
<i>7. Pollution Prevention and Resource Efficiency</i>		<input type="checkbox"/>	No risks	



## Final Sign Off

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

## Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		
<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No )</b>
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>31</sup>	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No

<sup>31</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse trans boundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities that could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?  <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same-forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	Yes
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>32</sup> greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?  <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)?	No

<sup>32</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>33</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		

<sup>33</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

## 9.8 Risk Analysis Log

Description	Date Identified	Type	Impact/Probability	Countermeasure/mgt . response	Owner	Submitted updated by	Last update	Status
Insufficient in-kind support by Government and continued high dependency on donors' contributions	Programme start date	Financial and organistl.	P = 3 I = 5	MOHA Secretariat/Programme Manager and GoL continue to engage with donors for support on DDF and to mainstream Sam Sang Policy at district level	GoL, MOHA			n/a
Insufficient co-financing of DDF by provincial budget	Programme design	Financial	P = 4 I = 5	A DDF Memorandum of Agreement and terms of conditions is signed by relevant Ministries and Provinces	GoL, MoHA			n/a
Technical and management complexity of multiple sector inhibits MOHA effectiveness	May 2016	Operational and organistl.	P = 4 I = 4	Programme Board (comprised on senior management from other ministries) takes a proactive and clear role to communicate key activities and indicators of GDP with DGs of their ministries at the central and sub-national levels	Programme Board, Lead Committee			n/a
Line Ministries, Provincial and District authorities reluctant to accept MOHA role in supporting streamlined multi-sector planning and outreach work to compliment line ministry work	May 2016	Political Operational	P = 4 I = 4	Role and effectiveness of MOHA to be reviewed and endorsed at every Programme Board Meeting. MOHA Programme Manager takes a proactive role in coordinating with the Ministry of Planning to create efficiencies in local government multi-sector planning	MOHA GoL Political Level			n/a
Insufficient opportunity for dialogue among citizens and NPAs	Programme Start Date	Operational	P-2 I-3	In addition to PSIF, SUFS, outreach work, MOHA and secretariat will ensure citizen feedback is high on agenda in operational and management terms so updates are available during policy meetings.	MOHA and Programme Secretariat			n/a
Changes in governance arrangements or key personnel in MOHA or District Governors Office	Programme Start Date	Governance and Mgt.	P-4 I-4	Programme Board will ensure a smooth transition to any such developments. UNDP technical assistance in M&E and operational management will support MOHA and local administrations to adopt new ways of planning, outreach and service mapping and to support internalization at an organizational level (i.e. not individual level). Programme Board will facilitate open dialogue to address any concerns raised by partners.	GoL			n/a
Misappropriation of funds and resources	Programme Start Date	Mgt.	P-2 I-4	Adherence to audit requirements (GoL, UNDP and UNCDF). Fund disbursement based in progress of meeting targets under each indicator and use of credible evidence	MOHA/local administration			n/a

## 9.9 Implementing Partner Capacity Assessment

### 9.9.1 HACT Assessment

Not necessary to re-conduct, as Implementing Partner remains same as under GPAR SCSD (2012-2017)

### 9.9.2 Preliminary Implementing Partner Capacity Assessment

AREAS FOR ASSESSMENT	ASSESSMENT QUESTIONS	Comments	REFERENCE DOCUMENTS AND INFORMATION SOURCES
<b>PART I. BACKGROUND INFORMATION</b>			
1. History	Date of establishment of the organization	19 August 2011	<a href="http://www.moha.gov.la">www.moha.gov.la</a>
2. Mandate and constituency	What is the current mandate or purpose of the organization? Who is the organization's primary constituency?	Ministry of Home Affairs (MoHA) is a government organization, has roles as secretariat to the government at macro level regarding governance development at central and local level; civil service management; civil society's regulations and management; geography matters, archives; ethnic and religion matters; citizen management and competitions-awards matters in the country. Further details about MoHA Mandates can be found on the website.	<a href="http://www.moha.gov.la">www.moha.gov.la</a> Decree on Organizations and Operations of Ministry of Home Affairs #253/PM dated 19 August 2011.
3. Legal status	What is the organization's legal status? Has it met the legal requirements for operation in the programme country?	Yes, legal status of MoHA is mandated by the Prime Minister's Decree on MoHA	Decree on Organizations and Operations of Ministry of Home Affairs #253/PM dated 19 August 2011.
4. Funding	What is the organization's main source (s) of funds?	Public Budget	Annual reports
5. Certification	Is the organization certified in accordance with any international standards or certification procedure?	No	ISO, project management standard, other standards
6. Proscribed organizations	Is the organization listed in any UN reference list of proscribed organizations?	No	<a href="http://www.un.org/sc/committees/1267/consolist.shtml">http://www.un.org/sc/committees/1267/consolist.shtml</a>
<b>PART II. PROJECT MANAGEMENT CAPACITY</b>			
<b>2.1 Managerial Capacity</b>			
1. Leadership Commitment	Are leaders of the organization ready and willing to implement the proposed project?	YES	Consultations
2. Management experience and qualifications	2.1. Which managers in the organization would be assigned to work on the proposed project? 2.2. What are their credentials and experience that relate to the proposed project?	2.1. NGPAR Programme Board will be assigned and there will be a MOHA Programme Manager. 2.2. YES 2.3. YES	NGPAR website NGPAR projects reports– NGPS, SCSD and CSSP

AREAS FOR ASSESSMENT	ASSESSMENT QUESTIONS	Comments	REFERENCE DOCUMENTS AND INFORMATION SOURCES
	2.3. Do these managers have experience implementing UNDP or other donor-funded projects?		
3. Planning and budgeting	Does the organization apply a results-based management methodology? Are there measurable outputs or deliverables in the strategies, programmes and work plans? Are budgets commensurate with intended results? How do planners identify and accommodate risks?	NGPAR has been assisting MoHA to address a comprehensive package of reforms in public administration in line with a results-based management methodology. There are measurable outputs and risks identified in the programme document. The work plans show the budgets commensurate with intended results.	Programme documents -4. Results -9.2. Multi-year work plan and budget
4. Supervision, review, and reporting	How do managers supervise the implementation of work plans? How do they measure progress against targets? How does the organization document its performance, e.g., in annual or periodic reports? How are the organization's plans and achievements presented to stakeholders? Does the organization hold regular programme or project review meetings? Are such meetings open to all stakeholders? Are the organization's activities subject to external evaluation? How does the organization learn and adapt from its experience?	Reporting to stakeholders and monitoring activities will be organized on a regular basis	Programme Document - 7. Monitoring and Evaluation Plan
5. Networking	What other organizations are critical for the successful functioning of this organization? How does the organization conduct relations with these organizations? Is the organization a party to knowledge networks, coordinating bodies, and other fora?	Line ministries and local authorities at the provincial, district, kumban, and village levels. IP has an existing network with these stakeholders.	NGPAR Website, NGPAR projects reports– NGPS, SCSD and CSSP 9.6 Stakeholder environment
<b>2.2 Technical Capacity</b>			
1. Technical knowledge and skills	Do the skills and experience of the organization's technical professionals match those required for the project? Would these professionals be available to the project? Does the organization have the necessary technical infrastructure (e.g., laboratories, equipment, software, technical data bases, etc.) to support the implementation of the project? How do staff members of the organization keep informed about the latest techniques and trends in their areas of expertise? What external technical contacts and networks does the organization utilize? What professional associations does the organization and/or its professional staff belong to?	GIDP IP has developed its technical knowledge and skills through previous NGPAR projects supported by UNDP and others. Through the most recent NGPAR project, NGPAR SCSD, it has demonstrated its enhanced technical knowledge and skills in terms of data collection and analysis and network management.	NGPAR projects reports– NGPS, SCSD and CSSP
<b>PART III. ADMINISTRATIVE AND FINANCIAL MANAGEMENT CAPACITIES</b>			



AREAS FOR ASSESSMENT	ASSESSMENT QUESTIONS	Comments	REFERENCE DOCUMENTS AND INFORMATION SOURCES
<b>3.1 Administrative capacity. Note: Answer only questions that are relevant to the proposed project.</b>			
1. Facilities, infrastructure and equipment	<p>Does the organization possess sufficient administrative facilities, infrastructure, equipment and budget to carry out its activities, particularly in relation to the requirements of the project?</p> <p>Can the organization manage and maintain the administrative and technical equipment and infrastructure?</p>	<p>NGPAR Office possesses sufficient administrative facilities, infrastructure, equipment and budget to carry out its activities.</p> <p>Contractual individuals will be provided by GIDP to provide additional administrative support</p>	<p>Programme Document - Annex. Set of ToRs</p> <p>Facilities and equipment available for project requirements</p>
2. Recruitment and personnel management	<p>Does the organization have the legal authority to enter into employment contracts with individuals?</p> <p>Does the organization have dedicated personnel capacity? Do recruitment personnel have skills and experience that are appropriate to the requirements of the project? Does the organization have written recruitment procedures?</p> <p>Is there evidence that the organization conducts recruitment objectively on the basis of competition, fairness, and transparency?</p> <p>Does the organization have a salary scale that would apply to project personnel? Would that scale inhibit the hiring of the best candidates?</p> <p>If the organization has a salary scale, how often is this salary scale revised and what would be the likely impact of these raises to the project costs?</p> <p>Does the organization have established rules to deal with dispute cases effectively?</p> <p>What is the staff well-being policy of the organization, in particular dealing with discrimination, grievances, harassment and abuse cases?</p> <p>In case of dispute cases with its staff working in projects does the organization undertake full responsibility to investigate and settle such cases without infringement to UNDP?</p> <p>Is the leave policy of the organization compatible with UNDP's leave policies and is this policy likely to impede project implementation activities?</p> <p>Does the organization have personnel policies regarding death and disability?</p> <p>Does the organization have personnel policies on health insurance and pension arrangements?</p>	<p>GIDP IP has the legal authority to enter into employment contracts with individuals and has developed and demonstrated its personnel management capacity for many years through previous NGPAR projects.</p>	<p>NGPAR projects reports– NGPS, SCSD and CSSP</p>

AREAS FOR ASSESSMENT	ASSESSMENT QUESTIONS	Comments	REFERENCE DOCUMENTS AND INFORMATION SOURCES
3. Procurement and contracting	<p>Does the organization have the legal authority to enter into contracts and agreements with other organizations? Does the organization have access to legal counsel to ensure that contracts are enforceable, meet performance standards, and protect the interests of the organization and UNDP?</p> <p>Does the organization have dedicated procurement capacity? Do procurement personnel have skills and experience that are appropriate to the requirements of the project? Does the organization have written procurement procedures? Number of staff involved in procurement?</p> <p>Is there evidence that the organization conducts procurement on the basis of best value for money, transparency, and effective international competition? Number of procurement actions and their value in the past year? Is there a procurement plan for either the current, or next year?</p>	<p>GIDP IP has the legal authority to enter into contracts and agreements with other organizations. Its capacity for procurement and contracting has been demonstrated for many years through previous NGPAR projects.</p> <p>Further details are analysed in HACT Micro Assessment</p>	<p>NGPAR projects reports–NGPS, SCSD and CSSP HACT Micro Assessment</p>
<b>3.2 Financial Management Capacity</b>			
1. Financial management organization and personnel	<p>Does the organization have written rules and regulations for financial management that are consistent with international standards? Does the organization have a dedicated finance unit?</p> <p>Do finance managers and personnel have skills and experience that are appropriate to the requirements of the project? Is the existing financial management capacity adequate to meet the additional requirements of the project?</p> <p>Do finance personnel have experience managing donor resources?</p>	<p>GIDP IP has a dedicated finance unit.</p> <p>Further details are analysed in HACT Micro Assessment</p>	<p>NGPAR projects reports–NGPS, SCSD and CSSP HACT Micro Assessment</p>
2. Financial position	<p>Does the organization have a sustainable financial position? What is the maximum amount of money the organization has ever managed? If the proposed project is implemented by this organization, what percentage of the organization's total funding would the project comprise?</p>	<p>GIDP IP has a sustainable financial position as proven by the previous NGPAR projects.</p> <p>Further details are analysed in HACT Micro Assessment</p>	<p>NGPAR projects reports–NGPS, SCSD and CSSP HACT Micro Assessment</p>
3. Internal control	<p>Does the organization maintain a bank account? Does the organization have written rules and procedures on segregation of duties for receipt, handling and custody of funds? How does the organization ensure physical security of advances, cash and records?</p> <p>Does the organization have clear written procedures and internal controls governing payments? How does the organization ensure that expenditures conform to their intended uses? Does the organization have a policy requiring two signatures for payments over a defined limit?</p> <p>Is there any evidence of non-compliance with financial rules and procedures?</p>	<p>This is analysed in HACT Micro Assessment</p>	<p>NGPAR projects reports–NGPS, SCSD and CSSP HACT Micro Assessment</p>

<b>AREAS FOR ASSESSMENT</b>	<b>ASSESSMENT QUESTIONS</b>	<b>Comments</b>	<b>REFERENCE DOCUMENTS AND INFORMATION SOURCES</b>
4. Accounting and financial reporting	<p>Are accounts established and maintained in accordance with national standards or requirements?</p> <p>When and to whom does the organization provide its financial statements?</p> <p>Can the organization track and report separately on the receipt and use of funds from individual donor organizations?</p> <p>Is there any evidence of deficiencies in accounting or financial reporting?</p> <p>Does the organization have a system and procedures for asset management and inventory control?</p>	This is analysed in HACT Micro Assessment	NGPAR projects reports–NGPS, SCSD and CSSP HACT Micro Assessment
5. Audit	<p>Is the organization subject regularly to external audit? Is audit conducted in accordance with international audit standards? Are audit findings public? If so, have the organization’s financial audits produced any significant recommendations for strengthening of financial systems and procedures? Have audits identified instances of non-compliance with rules and procedures or misuse of financial resources? What has been done to carry out audit recommendations?</p>	This is analysed in HACT Micro Assessment	NGPAR projects reports–NGPS, SCSD and CSSP HACT Micro Assessment

\* Additional assessment will be carried out, as needed or required by the Project Appraisal Committee

## 9.10 PAPI

### Introduction to PAPI

PAPI is a nationwide sociological survey of Vietnamese citizens' experiences of six dimensions of good governance and public administration (Figure 1.1). The survey was piloted in three provinces in 2009, expanded to 30 in 2010, and has been implemented nationwide in all 63 provinces and cities since 2011. The survey is carried out by teams of two research coordinators and eight students in each province conducting individual interviews with randomly selected respondents using a fixed, coded questionnaire. PAPI is a Vietnam-specific survey aiming at internal comparisons among provinces, not internationally with other countries. Nonetheless, the PAPI dimensions and questionnaire are broadly consistent with international definitions of good governance (Hyden and Samuel 2011). PAPI has been used as a model and reference for comparable Local Governance Assessments in other developing countries, including Myanmar and Indonesia (UNDP 2013, Experts Round Table 2012).

**Figure 1.1 PAPI Dimensions and Indicators** (source: 2011 report, p. 5)

Provincial Governance and Public Administration Performance Index (PAPI)					
D1. Participation at Local Levels	D2. Transparency	D3. Vertical Accounta- bility	D4. Control of Corruption	D5. Public Admin. Procedures	D6. Public Service Delivery
1.1. Civil Knowledge 1.2. Opportunities for Participation 1.3. Quality of Elections 1.4. Contributions to Local Projects	2.1. Poverty Lists 2.2. Communal Budgets 2.3. Land-Use Plan / Pricing	3.1. Interactions with Local Officials 3.2. People's Inspections Boards 3.3. Community Investment Supervision Boards	4.1. Limits on Public Sector Corruption 4.2. Limits on Corruption in Service Delivery 4.3. Equity in Employment 4.4. Willingness to Fight Corruption	5.1. Certification Procedures 5.2. Construction Permits 5.3. Land Procedures 5.4. Personal Procedures	6.1. Public Health 6.2. Primary Education 6.3. Infrastructure 6.4. Law and Order

PAPI respondents are selected using a sampling process in which each citizen in a given province has a theoretically equal chance of being chosen (2010 report, p. 94). Three districts per province are selected, one of which is the seat of the provincial capital and the other two randomly selected using a method of —Probability Proportion to Size. Two communes are further selected, one of which is the district seat, and finally two villages or neighbourhoods per commune. These geographical selections are kept constant from year to year, but individual respondents vary by random selection each year. In 2013, 13,892 citizens responded to the PAPI questionnaire.

PAPI is carried out via collaboration between the Centre for Community Support and Development Studies (CECODES, a Vietnamese NGO registered with VUSTA), the Viet Nam Fatherland Front (VFF), and the United Nations Development Programme (UNDP). These agencies, referred to as —implementing partners , have remained consistent since the start of the pilot in 2009. Several VFF units have involved in PAPI over this time; at present the implementing partner is the Centre for Research and Training (VFF-CRT). UNDP applies the project format of —Direct Implementing

Management to PAPI, taking an operational role and not merely acting as a donor (UNDP 2011). Since 2011, the majority (about 75%) of funding for PAPI has been provided from the Swiss Agency for Development and Cooperation (SDC) in Vietnam; the remainder comes from UNDP's own contribution.

In addition to the implementing partners, PAPI draws on a broad range of other contributing stakeholders. A National Advisory Board of 24 officials and experts, which meets once or twice a year, provides high-level advice and policy linkages (2013 report, p. ix). The Vietnamese NGO Live & Learn recruits students for provincial research teams. Since 2013, the National Assembly's Institute of Legislative Studies (ILS) has organized dissemination workshops for NA delegates and provincial People's Council members. The Ho Chi Minh National Political Academy (HCMA) engaged in research and analysis of paired provincial results in 2011-12, and in 2013 began a process of action research and targeted coaching in three provinces (Hà Giang, Phú Yên and An Giang). HCMA has also integrated PAPI into its senior leadership training program for Party-state cadres.

#### **Extract from Executive Summary – External Mid-Term Review 2014**

The Viet Nam Provincial Governance and Public Administration Performance Index (PAPI) is a collaborative effort among the United Nations Development Programme, the Viet Nam Fatherland Front, and a Vietnamese NGO, Centre for Community Support and Development Studies (CECODES) aiming to strengthen the transparency, accountability and responsiveness of provincial governments to their citizens. PAPI achieves this by measuring the experiences of randomly selected citizens on local governance and public administration. Following three years of nationwide implementation from 2011-13, PAPI's donors (Swiss Agency for Development and Cooperation and UNDP) commissioned a Mid-Term Review to assess the project's progress toward its expected outcomes.

The MTR finds that PAPI has made a substantial and growing contribution to understanding of good governance and public administration reform in Vietnam. PAPI's citizen-centred approach, giving citizens the chance to provide feedback to local government and services on their own, is ground-breaking in Vietnam. It is fully consistent with the VFF's mission of promoting grassroots democracy, social monitoring and criticism (giám sát, phản biện xã hội và dân chủ cơ sở), the National Assembly's mandate of responsiveness to the concerns of voters, and the Communist Party's emphasis on the ownership rights of the people (quyền làm chủ). PAPI results form an independent nationwide database providing accurate data on priority public issues, including participation in policy-making, control of corruption, and health and education services.

PAPI is based on a thorough and sound survey methodology. Statistical experts interviewed for the MTR confirm that PAPI's sampling and data analysis meets international standards and has the highest reliability of any comparable sociological index conducted in Vietnam at present. The PAPI questionnaire succeeds at achieving neutrality and independence as well as relevance to the Vietnamese socio-political system through asking questions relating to citizens' concrete experiences, not only perceptions and opinions. The survey design and the PAPI project overall, show clear evidence of consultation and trust among Vietnamese stakeholders and international experts. Through this process of collaboration, PAPI has developed a culture of internal learning with the capacity to make adjustments and improvements to the index over time.

PAPI is implemented through extensive cooperation among the main implementing partners, student enumerators, provincial VFFs, and a range of other advisors and stakeholders. The project forms a model of good practice for engagement between government and non-governmental actors in pursuit of common goals. No MTR interview respondents suggested major changes in the

survey methodology or implementation. The small adjustments that the MTR recommends are within the capacity of the project team to carry out and indeed build on improvements that have already been made.

As a project, PAPI has achieved the majority of its outputs, successfully implementing a randomized population survey in all 63 provinces and cities, producing a high quality annual report, and developing a comprehensive website in both Vietnamese and English. There is also evidence of progress toward PAPI's outcomes, as shown in the efforts by at least 13 provinces to issue official decisions or develop action plans to improve their performance. The MTR finds that achievement of PAPI outcomes would be aided by improved presentation and communication of results to ensure that information reaches the intended users: primarily provincial leaders and officials, and comprising socio-political organizations, media, central authorities, academic researchers, and the public.

The use of PAPI data by intended audiences is mixed in effectiveness to date. At the central level, PAPI has contributed to a growing debate on how to reduce corruption in the public sector. Vietnamese and international researchers are making extensive use of survey data, demonstrated for instance in the proliferation of other performance indices and satisfaction surveys carried out by Vietnamese government and other actors in related fields. Yet actions by the primary users of PAPI results – provincial officials, mass organizations, and the public – require availability of detailed question-by-question survey results rather than indices or statistics alone. At present, the MTR finds a partial mismatch between information needs of provincial audiences and the format and communication of PAPI results. This can be improved both through clearer presentation of results for non-technical audiences, as well as establishment of multiple channels of influence on provincial authorities.

The MTR finds that the most effective channels to date have been focused, single province interventions to reach provincial leaders via action research and diagnostic workshops. Media outreach and links with elected bodies (National Assembly and People's Councils) are also important conduits. PAPI would benefit from a clearer communications strategy and adjustments in the presentation of reports, data sheets and the website to better incorporate provincial users' information needs.

The MTR report concludes with a series of targeted recommendations that can be implemented feasibly in the coming project period (2014-16). In rough order of priority, these recommendations are to:

1. Improve presentation of PAPI results
  - Provide question-by-question survey results to provinces.
  - Make the report more user-friendly for provinces.
2. Target outreach to key provinces
  - ☑ Focus support understanding and using PAPI results to a selected group of provinces each year.
  - Monitor results of provincial action plans to improve governance and public administration performance.
3. Improve communication about PAPI
  - Develop a PAPI communications and media strategy.
  - Update and circulate FAQ on PAPI methodology.
  - Prepare a short, targeted PAPI policy brief for NA delegates.
4. Develop PAPI's brand and identity
  - Give PAPI a more distinct brand from PCI.

- Present PAPI as a Vietnamese product.
  - Decide on an annual theme for the report.
5. Clarify roles among partners
- Maintain strong cooperation among the core project team.
  - Identify and promote strengths of each partner.
6. Set up process for technical review
- Adjust the survey methodology after 4-5 years of nationwide implementation.
  - Include provincial and local end users of data in technical review.
7. Program monitoring and risk management
- Set outcome-level targets for the next project phase.
  - Identify program-level risks for PAPI and develop matrix of mitigation measures.

Interview respondents unanimously agreed that PAPI should continue on an annual basis during and after the next project period (2014-16). Although international donor support appears to be the most feasible option for funding PAPI, the project team should consider ways to shift the structure of PAPI toward greater Vietnamese ownership. This would require UNDP gradually playing a less central role in workshops and media appearances, and other partners taking a correspondingly more public role. The project team could establish a series of benchmarks, which a prospective PAPI host would need to meet within a certain time frame as a precondition for a change in the project structure [www.papi.vn](http://www.papi.vn)

## **9.11 D-SDMS**

The District Service Delivery Monitoring System (D-SDMS) was designed under GPAR SCSD project during 2013 and following collaboration with Lao Bureau of Statistics and two district administrations it was field-trialled in Houn District (Oudomxay province) and Saravan district (Saravan province) during 2015.

D-SDMS is intended to provide decision makers at the local level with a simple tool for monitoring key SDGs related services in terms of progress towards achievements of SDGs goals and targets as specified in the NSEDP. Whilst the D-SDMS is not intended to monitor all of the time bound targets associated with the SDGs, it will be capable of monitoring the main off-track SDGs of most relevance to Lao PDR as identified in the NSEDP.

The effectiveness of monitoring the SDGs in any country depends on a wide range of issues relating to particular country priorities, the availability or non-availability of data, quality of data collection and reporting, different measurement standards, frequency of reporting and other service related information gaps. These challenges require governments and local administration to re-think the framework of indicators and develop local SDGs monitoring initiatives that will provide sufficiently useful data to enable improved service delivery towards meeting any off-track SDGs.

The D-SDMS thus represents an initial step towards engaging local administration in simple but systematic measurement that can provide decision makers with useful information to plan and manage key services and adjust budgets (DFF block grants) in line with NSEDP priorities.



## 9.12 District Development Fund (DDF) - Performance Assessment Manual (PAM)

DDF established as an incentive-driven and performance-based grant system is geared towards strengthening the capacities of districts in core generic functions related to the public financial management (PFM) process ranging between (A) Planning and Budgeting, (B) Financial Management and Procurement (expenditure and reporting), (C) Implementation/Execution-Service Delivery, and (D) Accountability and Transparency (monitoring and oversight). Introduced under the NGPAR-SCSD 2012-2016, the Manual for the Assessment of Districts' Performance guides the institutional performance areas for the participating Districts to be measured progressively against the 21 performance indicators, which include Planning (10 Indicators), Financial Management & Procurement (3 Indicators), Implementation/Execution & Service Delivery (5 Indicators) and Accountability & Transparency (3 Indicators). The performance assessment results incentivized the better performing districts to receive more grants allocation and to identify capacity development need areas for further capacity development support. Under GIDP, the PAM will be reviewed and updated accordingly.

### Performance Measures – Strengthening Public Financial Management (PFM) Process

Performance Measures	Performance Measure/Indicators Rule or regulation	Score	Means of verification	Remarks
<b>A. PLANNING</b>		<b>Maximum score on Planning: 40 POINTS</b>		
A1. The District Development Support Committee (DDSC) <sup>34</sup> is constituted as per the Planning Guidelines and has regular meetings	<p><b>Planning guidelines:</b> A District Development Support Committee (DDSC) shall be established in each District with (minimum) the following representatives:</p> <ul style="list-style-type: none"> <li>• Deputy Head of District (Chair);</li> <li>• Head of District Cabinet</li> <li>• Head of District Home Affairs</li> <li>• Head of District Finance Department;</li> <li>• Heads of the main sector departments (Education, Health, Agriculture and Transport);</li> <li>• District Planning and Investment Department Head (resource person)</li> <li>• The PRF coordinator (in districts where these are present)</li> </ul>	<p>5 Points: Established and fully operational and active.</p> <p>Or</p> <p>2 Points: Only established not yet fully operational as per guidelines.</p>	<p>The letter instruction of the District head nominating members in DDSC</p> <p>The invitation letters to DDSC members for meetings</p>	<p>(Merger of two previous MCs). Other sectors can be incorporated in the DDSC as well, if the district decides.</p>

<sup>34</sup> This was previously called the District Planning Committee (DPC).

Performance Measures	Performance Measure/Indicators Rule or regulation	Score	Means of verification	Remarks
	<ul style="list-style-type: none"> <li>• Head of the District Lao Women’s Union (LWU);</li> <li>• 3 representatives from each Khumban: <ul style="list-style-type: none"> <li>- Khumban head</li> <li>- 1 Village Chief</li> <li>- 1 Women village representative</li> </ul> </li> </ul> <p>The DDPC is functional and meets twice a year minimum, once to approve the Annual Investment Plan and Budget, and once to review the annual report on the Plan implementation at the end of the fiscal year.</p>			
A 2. The District Development Support Team <sup>35</sup> is constituted and operational as per the District Planning Guidelines	<p><b>Planning guidelines:</b> A District Development Support Team (DDST) shall be established in each District to ensure facilitation of and technical input into the District Investment Planning Process. This is purely technical team and is therefore composed uniquely of government technical staff.</p> <ul style="list-style-type: none"> <li>• District Planning &amp; Investment Department Head (Team leader);</li> <li>• DPI staff;</li> <li>• Sector technicians (but <u>not</u> the sector Heads) from the main sector departments (Education, Health, Agriculture and Transport).</li> <li>• PRF coordinator represented in this district</li> </ul> <p>There are no limits to the number of members of the DDST, and each district will need to evaluate their own needs depending on the size of each district. The District Head will nominate members of the DDST. Evidence that it has actively supported the planning process:</p>	<p>5 Points: Established and active.</p> <p>Or</p> <p>3 Points: Established only, but not yet fully operational as per guidelines.</p>	Instruction of the District Head to constitute the District Development Support Team, attendance list to meetings	Previously a MC

<sup>35</sup> This was previously called the District Planning Team (DPT).

Performance Measures	Performance Measure/Indicators Rule or regulation	Score	Means of verification	Remarks
A.3. Rules on quorum and representatives in DDSC on plan/budget approval adhered with	<p>The District Annual Investment Plan and Budget was approved/recommended in a DDSC meeting in which a quorum of 2/3 of Kumban level representatives were present</p> <p><b>Planning guidelines:</b>  “The DDSC can only make final recommendations to the District Head on the District Annual Investment Plan and Budget if at least two-thirds of its Kumban members are present at the annual DDSC meeting. In the event that this quorum is not attained, final recommendations cannot be forwarded to the District Head for approval; the DDSC will then need to organize another meeting in order to attain a quorum”.</p>	5 points: Done and per guidelines.	Minutes of the meeting with attendance list: verification of attendance of 2/3 of kumban representatives. There should be 3 members per kumban in DDSC	<p>Previously a MC.</p> <p>DDSC is not an extended DDST. DDSC is the representation of local level for the DDF and therefore the participation of kumban representatives is mandatory.</p>
A.4. Community consultations during the preparation of the District Annual Investment Plan and Budget	<p><b>Planning guidelines:</b>  Consultations made in the identification of priorities during village meetings, selection of priorities for the development plan and for the Annual Plan in Kumban meetings with representatives of villages, confirmation of priorities every year of the priorities in the development planning.</p>	5 points: Done.	<p>Dates and minutes of village meetings for year 1 of DDF</p> <p>Dates and minutes of kumban meetings for year every year.</p>	<p>Previously a MC.</p> <p>It is advised to at least check dates and minutes of all kumban meetings and as many as possible of villages meetings. Since the number of villages is very important, it is advisable to proceed by sampling 2 kumban at least and verifying if all village meetings took place and have minutes, and verify briefly for other kumban if there are dates of village meetings. This will be complemented during</p>

Performance Measures	Performance Measure/Indicators Rule or regulation	Score	Means of verification	Remarks
				the field visit by asking citizens if village and Kumban meetings took place. It is very important also to verify that village and kumban meetings have taken place in the kumban, which did not have any projects selected for DAIPB.
A 5. Comprehensive and coordinated planning process	The district plan and budget process has captured all funds with due consideration of funding from PRF, and other sources and made use of synergies between these to avoid overlapping investments.	2 Points: if the plan and budget process have all funding available for local investments reflected to avoid overlapping investments	Review all planning processes in the district area and ascertain that the district has considered these and incorporated their results in the district planning and budgeting process	New
A. 6. The value of local contribution to each sub-projects follows the rules in the DDF guidelines and district contribution to projects	<p>The following rules guide the community contribution.</p> <p><b>Planning guidelines:</b></p> <p>“In order to maximise the sense of local ownership of all investments, all BBG-funded projects will also include a local contribution. This contribution can be either in kind (labour, materials, etc.) or in cash.</p> <p>However, under <u>no</u> circumstances will the <b>monetised</b> value of any local contribution to any individual investment project exceed 15% of the total monetary value of that project”.</p>	<p>Maximum 5 points:</p> <p>3 points: If the monetized contribution is between 1 – 15 % and contribution is promoted (i.e. cannot be below 1 % and not above 15 %).</p> <p>Additional 2 points: If districts have mobilized more than 5 % from</p>	<p>Verification of the % in the approved Plan and Budget.</p> <p>Amount of Local contribution / total amount of the sub-project (local contribution + DDF investment)</p>	<p>Previously a MC.</p> <p>Local contribution is good for ownership and suitability, but it is important that the communities are not exploited.</p> <p>The local contribution is usually in kind (materials or unskilled labor). The equivalent in cash is</p>

Performance Measures	Performance Measure/Indicators Rule or regulation	Score	Means of verification	Remarks
	In addition, it is promoted that districts ensure co-funding from own sources and other available funding sources.	other sources of funding, e.g. district source funding, sector funding, NGOs, etc. <sup>36</sup>		calculated during the preparation of the Plan.  The local contribution included in the Plan is only for investment purpose (not for meeting costs or other operational expenditures). However, in-kind voluntary contribution can be increased above 15 % during implementation, but should not be included in the contract or in the plans/priorities. Contractors will know that they have to cater for minimum 85 % of the costs.
A. 7. The District Investment Plan and Budget is consistent with DDF regulations concerning the breakdown between district level (<30%) and	<b>Planning guidelines:</b> Of the total allocation made to a District: (i) 30% <u>or less</u> will be used for financing District level expenditure responsibilities; (ii) 70% <u>or more</u> will be used for financing Sub-District (or Kumban) level expenditure responsibilities.  A Kumban level investment is defined as an investment that is small-scale, generally only impacts on one or a few	4 points: Full compliance	Verification of the approved Annual Plan/Budget: distribution of projects for district level and Kumban level and respective amounts required for DDF investment	Previously a MC.

<sup>36</sup> Note that in this case, there are two sub-indicators, one may provide 3 points another 2 points, i.e. a maximum of 5 points can be provided on this PM.

Performance Measures	Performance Measure/Indicators Rule or regulation	Score	Means of verification	Remarks
Kumban level (>70%)	Kumbans and their inhabitants, and can usually be operated and maintained by Kumban. A District level investment, on the other hand, is a larger investment, which usually benefits more than three Kumbans and their inhabitants, and which usually requires that the District ensures operations and maintenance.			
A. 8. Operational and Maintenance plan	The district has an operational and maintenance plan, with specific budget allocated for required projects.	3 Points: Plan exists	Check the plans and budgets (sample 2-3 larger projects and check if there has been any planning and agreements on the maintenance and operational cost implications)	New  This should not only cover the DDF investments.
A. 9. Data base of districts	The district has established a database of the districts with data on poverty, SDGs targets and status, overview of the service delivery and gender aggregations of provision and coverage.	3 Point: Data profile established with all information in a database  Or 2 points: Data profile only on poverty mapping, i.e. not comprehensive	Check the annual plans and budgets + evidence of data base.	New
A. 10. SDGs, gender and poverty planning	The district has annually carried out an exercise of poverty profiling, a listing of poverty struck households and/or social /economic mapping, gender mapping, health (e.g. maternity issues) etc. and <b>used this in the actual</b> planning and budgeting process, i.e. linkages between the profile and the targeting of investments/services.	3 Point: Profiling and analysis used in the actual planning process and reflected in the plans	Check the data profiles, analyze and ascertain whether there are links with the planning priorities.	New

Performance Measures	Performance Measure/Indicators Rule or regulation	Score	Means of verification	Remarks
<b>B. FINANCIAL MANAGEMENT AND PROCUREMENT</b>		<b>MAXIMUM POINTS 20</b>		
B 1. Quarterly financial report and supporting documentation submitted on a timely basis	<p><b><i>Financial Management guidelines:</i></b>  “At the end of each quarter the DFO will prepare a quarterly summary of receipts and expenditures, using the Accounts Journal including:</p> <ul style="list-style-type: none"> <li>• Payment Journal;</li> <li>• Summary of contract payments for this quarter;</li> <li>• Summary of total contract payments to date;</li> <li>• Summary of expenditures for this quarter;</li> <li>• Summary of total expenditures to date;</li> <li>• Reconciliation format;</li> <li>• Advance statement (advances still outstanding);</li> <li>• Bank statement.</li> <li>• <b>All supporting documents including original receipts and invoices</b></li> </ul> <p>The Quarterly summary report will be prepared in six copies, to be distributed as follows:</p> <ul style="list-style-type: none"> <li>- the Provincial Financial Department;</li> <li>- the Provincial Department of Planning and Investment;</li> <li>- the District Head;</li> <li>- the DFO’s files.</li> <li>- District Development Support Team -DDST (district planning office)</li> <li>- published on the District notice board (only Summary expenditures)” </li></ul>	6 Points: Done in a timely manner	Quarterly financial report is filed at DFO and District Head’s Office and has been sent to provincial Finance Department, included all elements stated	Previously a MC.

Performance Measures	Performance Measure/Indicators Rule or regulation	Score	Means of verification	Remarks	
B. 2. Books of accounts up-to-date	Books of accounts and bank reconciliations up-to-date, i.e. cannot be more than 1 month behind schedule.	Points 6: Done and fully up to date.	Check the books of accounts and the bank notes from BBG and OEBG	New	
B. 3 Procurement methods used by the district for implementation of BBG funded projects were in accordance with financial thresholds	<b>Procurement Manual for District level:</b>		Points 8: Full compliance.	Verification in tender documents: Initial cost estimates of the sub-projects, tender documents, minutes of the meeting of District Tender Committee	
	Type of Procurement	Up to 3 million			Above 3 million 50 million
	Goods	Direct Purchase			Simple Price Comparison
	Works and Maintenance	Direct Contracting			Community Co Limited Bidding
	Consultant Services	Selection Based on Consultant's Qualifications			
<b>C. IMPLEMENTATION/EXECUTION -SERVICE DELIVERY</b>		<b>MAXIMUM POINTS 22</b>			
C.1. A Project Oversight Committee (POC) consisting of kumban representatives was established for each investment project	<b>Procurement Manual for district level and financial management guidelines:</b> "An Oversight committee formed by representatives of the community and village will be responsible to oversee the project execution on site".	5 Points: Done in all cases 4 points: more than 80 % 3 points: more than 70% 2 points: more than 60 % 1 point: more than 50 %	Instruction for the assignment of the POC Minutes of visits and meetings by POC Reports of POC in project notebook	Previously MC.  The team should meet the POC when visit the project site and also inquire among citizen and with the contractor if the POC is active.	
C. 2. Number of beneficiaries in DDF projects	Number of beneficiaries in each DDF funded project is above 100 people and the total number of beneficiaries	6 Points if done in all projects	Check the DDF project implementation reports. Points on this	New. If no evidence, then score 0.	



Performance Measures	Performance Measure/Indicators Rule or regulation	Score	Means of verification	Remarks
	from the BBG is above 5% of the number of inhabitants in the district.	3 points if more than 50 people benefiting in all projects.	require that the data is available at the district level.	
C. 3 Project implementation performance	% of DDF projects implemented on time of the total number of projects implemented by the districts according to its annual plan and work-plans.	4 points: All DDF projects implemented on time 3 points: 90 % 2 points: 80 % 1 points 70 %	Check the DDF project implementation records against the plans	New.
C. 4. Budget variance	Average budget variance (variation (+/-) between budget and budget execution) is less than 10 % as an average of the four core sectors (Education, Health, Agriculture and Public Works).	5 Points: If less than 5 % 4 points of less than 10 % 3 points if less than 15 % 2 points of less than 20 % 1 point if less than 25 %	Check the budget against the actual execution (financial reports). This should not only cover the DDF part of the budget, but the entire district budget.	New
C.5. One stop service shop	Districts have established a one stop service shop whereby citizens can contact the district on all issues, and be referred to the relevant official for further support and initiative	2 Points: Done	Review the organization of the tasks in the district and ascertain that this is functioning	New
<b>D. ACCOUNTABILITY AND TRANSPARENCY</b>		<b>Maximum Score: 18 POINTS</b>		
D.1. The Annual Financial Report presented to the District Development Support Committee	<b>Financial Management guidelines:</b> “In addition, quarterly and annual financial reports will be presented by the DFO and discussed at regular quarterly meetings of the District Development Support Committee (DDSC)”.	5 Points: Done and timely and comprehensively. Or 2 Points: Done, but sometimes delayed and	In Minutes of the DDSC meeting, verify if the reports have been presented to DDSC	For the present fiscal year, the annual financial report might not be available yet at the time of MC /PM assessment and therefore the DDSC will not have been able

Performance Measures	Performance Measure/Indicators Rule or regulation	Score	Means of verification	Remarks
	The report should cover all the financial transactions and not only the DDF.	/or only covering the DDF expenditures.		to review it in a meeting. In this case, previous year should be considered as well as quarterly financial reports.
D. 2. Information on notice boards	<p>The district published information about its: i) Annual grant allocations, ii) Annual Investment Plan and Budget iii) financial information on use of DDF funds and iv) citizens charter (service delivery goals and targets) on the public notice boards</p> <p><b>Planning guidelines:</b></p> <p>“Information about the annual DDF allocation will be kept on file in the District Administration office and will be made available to local citizens at their request”.</p> <p><b>Financial Management guidelines:</b></p> <p>“Quarterly and annual financial reports for the District’s DDF will be made publicly available by being posted on the District notice board. In addition, annual financial reports will also be sent to KBs, where they will be posted on the KB notice board”</p>	<p>8 points: all “i, ii, iii and iv)” complied with.</p> <p>6 points: three of i-iv.</p> <p>4 points: only two of i-iv.</p> <p>2 points: only done one of i-iv.</p>	<p>Verification if it is posted on the District Notice Board (the indicator is focusing on the districts).</p> <p>Verification with citizens if they have seen the notice on the Board</p>	<p>Previously partly covered by MCs.</p> <p>The current PM considers only the quarterly financial reports. The Annual financial report – at the end of fiscal year- might not be available at the date of the MC assessment (typically in October). Maximum scores can only be provided where the DDF has been operating at least one year.</p>
D. 3 Publication of the results from the annual performance assessments	The district has published the results from the annual performance assessments in the newspapers, or on notice boards, etc.	Points 5: Done	Evidence of the publication of the results.	New.

### 9.13 Public Service Innovation Facility (PSIF) - Indicative design elements

Based on the findings from the Mid-Term Evaluation of GPAR 'Strengthening Capacity of District Administrations for Service Delivery' (GPAR SCSD) (Laraburre et al, 2014), GIDP will develop a new Public Service Innovation Facility (PSIF) during the inception period of GIDP, in consultation with partners and stakeholders.

The PSIF will provide funding support for innovative pilot projects that test or prove new knowledge, technologies, processes or practices to deliver public value and that can be scaled or replicated across government. The Innovation Fund seeks to foster a dynamic environment of ongoing adaptation within local administration, while building public sector capability, responsive delivery, data-driven decision-making and experiential learning, to fund activities to address chronic bottlenecks in the provision of local services, or to address a specific service problem or priority and to generally improve the quality, relevance and an alignment of basic services to village plans.

PSIF will support projects that reflect the principles and approaches of public sector reform and seek to build more collaborative, networked and innovative ways of working between government, citizens and communities to improve outcomes for rural communities, especially women, youth and ethnic communities. In general, PSIF guidelines will favour proposals that include; -

#### Government and mass organisations

- assist ministries- mass organisations at both central and local levels to improve organization, processes and capacity building of the institutions and personnel through innovations that clearly contribute to improved service delivery (off-track SDGs)

#### Social inclusion

- PSIF funds will support bids that are committed to finding concrete and verifiable ways to alleviate the burden of extra duties on women who are tasked with domestic and productive duties as well as attending village/formal meetings to give feedback on the relevance and quality of basic services received. PSIF funds will also develop a set of criteria that explicitly targets women, persons with disabilities and ethnic inclusion particularly where groups are reported to have received disproportionately fewer basic services.
- New PSIF guidelines will include positive action on gender and social inclusion and disaggregated reporting thereof.

#### Civil society

- Since the theory of change involves government administrations working in new or better ways that ensure basic services are accessed by citizens, this project will expand partnerships to Lao Not for Profit Associations (NPA) including DPOs who are able to conduct outreach work in targets areas, particularly remote areas. NPAs will be included as recipients of PSIF in addition to local administration offices.

#### Multi-sector & joint proposals

- PSIF will also encourage proposals that have a multi-sectoral approach and proposals jointly made by local administration and civil society/NPAs, as a practical way of engaging the wider

community and administration in local service improvements, and building a positive working collaboration and helping to promote an enabling environment for non-government actors.

PSIF funding awards will ultimately be approved by the GPAR GID Programme Board. Day to day management of implementation will be the responsibility of the GPAR GID Programme Manager, with inputs from the GIDP support team, including the Chief Technical Advisor. Shortlisting of applications for funding will be done against the agreed PSIF Guidelines, by a PSIF technical team comprised of GIDP team, GIDP development partner representatives and local representatives (PPAs). The PSIF technical team will submit its final recommendations to the GID Programme Board for consideration and final decision.

Similarly, reports on progress of implementation, results against stated outcome and overall impacts will be prepared by the GIDP team, with local administration inputs for submission to the GID Programme Board.

Calls for Expressions of Interest (EOI) Proposals will be widely shared amongst the targeted audience of local administration, communities and civil society in the GIDP selected districts. These may include radio, public notices, notices to Village Chiefs and other dissemination channels that reach the intended remote communities served by GIDP, and especially women and girls, youth and ethnic communities therein.

PSIF grants might range from \$10,000-\$50,000 depending on the significance of the proposal and its expected impact on public service reform and local service improvements.

## **9.14 Technical Note on UNCDF Financing Mechanisms and Global and Regional Programmes**

### **About UNCDF**

UNCDF has a unique financial mandate within the UN system to promote increased capital flows to the local level, reducing inequalities, improving services and increasing opportunities for sustainable economic development – all contributing to sustainable and inclusive local development. It provides investment capital and technical expertise to both the public and the private sector. UNCDF's ability to provide capital financing in the forms of grants, loans and credit enhancements and accompanying technical expertise in preparing portfolios of sustainable and resilient capacity building and infrastructure projects, makes its mandate complementary to the mandates of other UN agencies. It also positions UNCDF as an early stage investor to de-risk opportunities that can later be scaled up by other financial partners and private sector investors. UNCDF has proven its ability to deliver true leverage on smaller and more risky investments and interventions within its core areas of expertise.

### **Local Transformative and Uplifting Solutions (LoTUS):**

- LoTUS is a new UNCDF regional development initiative that supports implementation of the ASEAN Economic Community (AEC) blueprint. LoTUS is being designed as a mechanism to localize the Greater-Mekong Sub-region (GMS) corridors that have been in development over the last two decades. LoTUS will utilize UNCDF LDFP's global and regional mechanisms (LoCAL and LIFE) to stimulate local economic development and entrepreneurship.
- The GMS corridor development approach has been spatially successful connecting centers of strategic geographical importance to form regional production networks that link to global value chains. In general, these corridors serve as transport, communications and power conduits to link critical production and export centers. Geographical focus has been placed on North-South connectivity that links Kunming (Yunnan - China) to Bangkok (Thailand) and the East-West corridor linking Dong Ha (Viet Nam) to Mawlamyine (Myanmar). The main GMS corridors provide very limited extension into local communities that are located within the associated corridor territory leaving out local communities and reducing their possibilities to benefit from integration.
- UNCDF LoTUS regional programme is being designed to extend the economic reach of GMS within the region's LDCs; namely, Cambodia, Laos, and Myanmar with initial emphasis being placed on the development of border areas in proximity to Thailand. LoTUS fits seamlessly into the changing investment climate found in Southeast Asia that is witnessing a reorientation of trade by the main regional exporters towards Asia and ASEAN. LoTUS signals a new dimension of the GMS corridor approach ushering in a new era of cross border development using factor endowments that generate backward economic linkages into local communities. The LoTUS philosophy will reduce inequalities that are internally fueled by the corridors developing natural spillover hubs throughout the main North-South, East-West and Southern GMS Corridors.
- The LoTUS programme will identify and facilitate cross-border investments that allow project developers to construct complimentary productive infrastructures that support corridor connectivity. Connecting local border economies to the already-developed regional production networks will foster a new environment for regional and domestic inward investments. This is especially the case as established companies seek to retain their competitiveness within the region to address the reorientation of trade and exports to an expanding Asian consumer market,

### **Local Climate Adaptive Living Facility (LoCAL):**

- Local Climate Adaptation is a global initiative that brings together UNCDF, the Green Climate Fund (GCF), the Korean Environmental Institute (KEI), and the World Resources Institute (WRI) under a single program umbrella. LoCAL has been specifically designed and implemented in ASEAN to support national and local governments to plan for climate adaptation.
- Local authorities in LDCs are well-positioned to identify climate adaptation responses that best meet local needs. They have the mandate to undertake the small to medium investments required for climate resilience. Often, however, funds are lacking and/or not made available for local investments.
- LoCAL provides a treasury-based mechanism to integrate climate adaptation into local government planning and budgeting systems, increase awareness and response to climate change at the local level, and finance climate adaptation investments. The goal of LoCAL is to promote climate change-resilient communities and economies by increasing financing for and investment in climate change adaptation at the local level.
- The programme introduces vertical earmarked transfer mechanisms that “climate proofs” local infrastructure developments.
- LoCAL provides a phased development pathway that is designed to systematically reduce ODA inputs by replacing development with climate considered public budgets, domestic finance and external climate funds support (GCF).
- The third initiative (Phase III) of the LoCAL program as illustrated by the Cambodia case transfers ownership for climate change adaptation to national and local governments. Climate adaptation budgeting thereby becomes a continuous internal government process.

## **9.15 Set of Terms of References**

### **9.15.1 National Leading Committee on Governance - TOR**

#### **Background: Governance Reform**

The Strategic Plan on Governance (2011 to 2020) provides the overarching framework for governance reform in Lao PDR. The Strategic Plan has four pillars:

- People's Representation and Participation
- Public Service Improvement
- Rule of Law
- Public Financial Management

The lead offices to lead implementation of the Strategic Plan are the National Assembly, Ministry of Home Affairs, Ministry of Justice and Ministry of Finance. However, the implementation of activities under the Strategic Plan involves all offices of the Government, to at least some extent, and good coordination between the four lead agencies. It is evident that these offices belong to different parts of the State; hence a suitable high-level mechanism needs to be in place to successfully guide, coordinate and oversee the implementation of this Strategic Plan. It is in this context that a high level Committee has been established at the national level called 'National Leading Committee on Governance', currently under the leadership of the Deputy Prime Minister.

#### **Objectives of the National Leading Committee on Governance**

- Provide high-level guidance on policy interventions and strategies in the governance sector, so as to reflect national priorities, and the Government's development policies and strategies;
- Ensure effective and timely implementation of the Strategic Plan on Governance, by overseeing policies, programmes and activities being implemented, and guiding inter-agency coordination;

To achieve these objectives, the National Leading Committee on Governance will:

1. Appoint and approve personnel to manage the NPGAR programme and LSMP programme, based on specific mechanism in accordance with the roles and rights of the organizations concerned;
2. Review and endorse strategies taken by the ministries and offices in the governance sector to implement the national Strategies and Policies emerging from Party Congress, and periodically monitor progress;
3. Review the implementation of the Strategic Plan on Governance, NPGAR programme, LSMP programme and other relevant programmes in the sector, including the performance indicators, timing and responsible agencies;
4. Manage the implementation of NPGAR programme, LSMP programme and other relevant programmes in the sector;
5. Examine and provide guidance on initiatives and challenges related to establishing and implementing policies that involve multiple ministries and sectors, including special meetings;
6. Monitor the delivery and utilization of development assistance to implement the Strategic Plan on Governance, NPGAR programme, LSMP programme and other relevant programmes and projects in the sector;
7. Receive reports, review and provide endorsements where required for initiatives of the Governance Sector Working Group
8. Receive periodic reports and provide guidance to Programme Boards of sub sector programmes such as Legal Sector Master Programme, National GPAR Programme, and other relevant programmes in the sector.

#### **Frequency of meetings and reporting**

The National Leading Committee on Governance, being a high-level oversight body rather than an administrative committee, could meet twice a year to discharge its mandate. Special meetings of the Committee could be organized, when required, to discuss specific important issues. Minutes of discussions of the National Leading Committee on Governance will be made and follow-up action will be the responsibility of individual representatives or organizations as directed by National Leading Committee.

### **9.15.2 Leadership and members of National Leading Committee on Governance - TOR**

The National Leading Committee on Governance is currently chaired by the Deputy Prime Minister, who has been designated to oversee matters of administration, and includes senior representatives of the key stakeholder agencies. The vice chair and other member of the National Leading Committee on Governance, are at the level of Minister and Vice Ministers or equivalent, as follow:

- |   |  |
|---|--|
| • Deputy Prime Minister   | Chairperson                            |
| • Minister of Justice   | Deputy Chairperson                     |
| • Minister of Home Affairs  | Deputy Chairperson and Standing Member |
| • Vice Minister of Planning and Investment                              | Member                                 |
| • Vice Minister of Finance  | Member                                 |
| • Vice Chairperson of Central Party<br>Personnel-Organisation Committee | Member                                 |
| • Vice Minister of Home Affairs   | Member                                 |

#### **Support for the National Leading Committee on Governance**

The National Leading Committee on Governance will receive secretariat support from Programme Boards: Programme Board of NGPAR Programme and Programme Board of LSMP Programme, as well as any other Programme/Project Boards that may be set up.

Programme Board of NGPAR Programme will be chaired by the Vice Minister of Ministry of Home Affairs and the Programme Board of LSMP Programme will be chaired by the Vice Minister of Justice. The members of the Programme Boards from the government would be of the level of Director General or equivalent, from the relevant ministries and agencies.

Programme Boards will have an office to provide necessary support to the Leading Committee, to organize meetings, provide necessary documentation and analysis, and follow up with stakeholders to implement the decisions and guidelines provided by the Leading Committee



### **9.15.3 National GPAR Programme Board - TOR**

#### **TERMS OF REFERENCE**

##### **Summary**

The existing NGPAR Programme Board will assume role and functions of a GIDP Programme Board and act in lieu thereof. The Vice Minister of MOHA, who will have direct oversight of GIDP, heads the NGPAR Programme Board. The NGPAR Programme Board reports to the high level National Leading Committee on Governance. The NGPAR Programme Board will meet four times per year to discuss programme progress and endorse programme orientations. The Programme Board will be responsible for discussing and endorsing the quarterly work plans, quarterly progress reports, annual work plans and annual progress reports. It will supervise the overall project implementation and management.

The ultimate responsibility for the delivery of GIDP is with the Executive of NGPAR Programme Board. A Programme Manager is designated by the Programme Board, and is also the Head of the Programme Secretariat. Operational responsibility for outputs will be assigned to the specific divisions of the MoHA or equivalent office at the provincial and district level. The activities related to these outputs will be part of the annual work plans of the particular offices. Administrative responsibility for planning, budgeting, preparing quarterly funding plans, tracking of activities and outputs, settlement of resources utilized, and reporting, will rest with relevant Deputy Director Generals; and will be coordinated under the Programme Manager.

**Overall responsibilities:** The NGPAR Programme Board is ultimately responsible for making sure that the Programme remains on course to deliver the desired results. It is responsible for making by consensus, management decisions for the Programme\*:

- at designated decision points during the implementation of the Programme (see specific responsibilities below);
- when guidance is required by the NGPAR Programme Manager, and
- when tolerances (normally in terms of time and budget) have been exceeded

The NGPAR Programme Board reviews and approves the annual work plans (AWP) and authorizes any major deviation from these plans. It ensures that the required resources are available, arbitrates on any conflicts within the programme and negotiates a solution to any problems between the programme and external bodies. In addition, it approves the appointment and responsibilities of the NGPAR Programme Manager. It may also decide to delegate its Programme Assurance responsibilities to a staff of UNDP, UNCDF and/or the Implementing Partner.

##### **Composition and organization:**

1. The Executive of the NGPAR Programme Board will be: **Vice Minister of the Ministry of Home Affairs.** The Executive is Chairperson of the NGPAR Programme Board, and is ultimately responsible to the NGPAR Programme Board. He/she has to ensure that the programme remains focused on achieving its objectives and is cost-effective.
2. The representatives of the Senior Suppliers will be drawn from the supporting partners, including UNDP, UNCDF, and representatives of other supporting development partners (to be endorsed at the first/earliest next NGPAR Programme Board). The Senior Suppliers represent the collective interests of the parties providing resources and/or technical expertise to the programme. Their primary function within the Board is to provide guidance regarding the technical feasibility and ensuring effective use of resources by the Programme. They are accountable for the quality of the resources (funding or technical assistance) provided to the Programme by the suppliers.

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\* Decisions by consensus are essential to reflect the joint accountability of the Government, UNDP and UNCDF in accordance with the project document and applicable regulations, rules, policies and procedures.

3. The representatives of the Senior Beneficiaries will be: Representatives from among Ministry of Planning and Investment, Ministry of Finance, Ministry of Natural Resources and Environment, (to be endorsed at the first/earliest next NGPAR Programme Board). The Senior Beneficiaries represent the collective interests of those who will ultimately benefit from the programme. They monitor the accomplishments and outputs of the programme against the agreed requirements.
4. In addition, the following partners will attend the meetings of the NGPAR Programme Board as observers: Dept. of International Cooperation of MPI, (to be endorsed at the first/earliest next NGPAR Programme Board).

***Specific responsibilities:***

When the Programme is initiated

- Agree on the responsibilities of the NGPAR Programme Manager and other Programme Cluster Managers, as well as the responsibilities of the other members of the Programme team;
- Delegate any Programme Assurance function as appropriate;
- Review and appraise detailed Programme Plans and AWP, including the risk log and the monitoring and communication plan.

During the implementation of the programme

- Provide overall guidance and direction to the programme;
- Address programme issues as raised by the NGPAR Programme Manager and other Programme Cluster Managers;
- Provide guidance and agree on possible management actions to address specific risks;
- Agree on NGPAR Programme Manager and other programme tolerances within the AWP;
- Conduct regular meetings as it may deem appropriate (e.g. to review the different Programme Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans; to review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner);
- Appraise the Programme Annual Review Report, make recommendations for the next AWP;
- Provide ad-hoc direction and advice for exception situations when tolerances are exceeded; and
- Assess and decide on programme changes through revisions.

When the Programme is being closed

- Assure that all Programme deliverables have been produced satisfactorily;
- Review and approve the Final Programme Review Report, including Lessons-learned;
- Make recommendations for follow-on actions;
- Commission Programme evaluation if it is required; and
- Notify operational completion of the Programme.

***Meetings:*** The NGPAR Programme Board meets:

- On a quarterly basis to review and approve the regular Programme reports.
- At any other time a meeting is requested by one of its members, the NGPAR Programme Secretariat Support Programme Manager or other Programme Cluster Managers, or the Programme Assurance because guidance is required, tolerances have been exceeded, or a particular issue or risk requires the intervention of the Programme Board.

#### **9.15.4 NGPAR /GID Programme Manager - TOR**

The NGPAR Programme Manager will assume the role and responsibilities of programme manager of GDP.

#### **TERMS OF REFERENCE**

In support of continued Government ownership, the National GPAR Programme Manager will be Director General of the Dept. of Planning & Cooperation of the Ministry of Home Affairs, and will perform this function on a full-time basis. The PM will be responsible for coordinating the delivery of outputs under the Programme, through managing the coordination efforts between MoHA departments, and the different projects constituting the Programme including GDP. The PM will facilitate MoHA's engagement in all programme activities; thereby ensuring that line departments and staff are available to lead and support reform actions and activities within target ministries and provinces working alongside programme personnel. The PM will manage inter-ministerial coordination of the implementation of the Strategic Plan on Governance (2011-2020) ensuring effective establishment of the monitoring and evaluation framework and institutionalization within government structures and systems. The PM will be responsible for all matters concerning the day-to-day running of the programme on behalf of the Programme Board.

#### **Duties and Responsibilities**

- a) oversight and coordination of execution of outputs according to the programme document and the procedures in the NIM manual;
- b) compiling, preparing and updating annual programme work plans with budgets; submission for approval to the Programme Board of the annual and quarterly work plans and budgets; assignment and allocation of resources according to the work plan; and quarterly reporting of progress against the work plan;
- c) selection, recruitment and performance management of administrative support staff for the programme; including coordination, supervision and performance evaluation of personnel;
- d) in collaboration with the UNDP country office and UNCDF, ensuring that all government letters of agreement are prepared and negotiated with appropriate parties, as needed (e.g. such agreements with pilot provinces and ministries);
- e) initiation and mobilization of all programme inputs not covered by the government letters of agreement in accordance with the relevant procedures in the NIM manual, and authorization of expenditures for these inputs (and in certain cases, requiring joint approval and/or sign off by the local UNDP office);
- f) ensuring the compliance of activities according to the agreed work plans in order to produce the specified outputs, results and outcomes;
- g) ensuring close co-ordination of the programme with other agencies at central and local levels of government;
- h) timely preparation and submission of the quarterly and Annual Reports and any other required progress reports, and assurance that reports prepared by programme personnel or participants are prepared, reviewed and acted upon as required; and
- i) reporting to the Programme Board on a regular basis and identification and resolution of implementation issues, with the assistance of the Programme Board and UNDP/UNCDF as necessary.

#### **Selection Criteria**

- Strong understanding of the Government's priority initiatives and indicator targets for reform as outlined in the 8<sup>th</sup> NSED 2016 - 2020 and Strategic Plan on Governance (2011 – 2020);
- Strong understanding of public administration, project and management skills and experience;
- High level capacity to work with, and support, other agencies to achieve results;
- Strong technical knowledge and experience related to programme management, governance and public administration reform;
- Demonstrated capacity to lead reform programs;
- Well-developed English reading, writing and speaking skills;
- Strong focus on results-based performance and ability to monitor performance against agreed targets; and
- Strong advocacy and representational capacity

### **9.15.5 Chief Technical Advisor (International) - TOR**

The Governance for Inclusive Development Programme (GIDP) supports the government's strong desire to strengthen its public administration's ability to achieve the goals of better service delivery, promote wider governance improvements and increase citizens' systematic engagement, especially at the local levels where basic services are coordinated, planned, tracked and reported. The linkage to national partnerships and the Governance Sector Working Group (GSWG) provides the opportunity for national policy advocacy and discussions on the progress of the GIDP joint programme and on governance matters in general. The Programme has been formulated under the framework of the National Governance and Public Administration Reform Programme (NGPAR) of the Government of Lao PDR, with the Ministry of Home Affairs (MoHA) to lead the implementation, with cross-sector cooperation and implementation by the Ministry of Finance, Ministry of Planning and Investment, and Provincial and District administrations.

The Chief Technical Advisor (international) will provide strategic, advisory and technical support to deliver relevant programme outputs and achieve outcomes. The CTA will focus primarily on strategic, advisory and technical support to assist the Executive of the NGPAR Programme Board and Programme Manager in overall programme management, including substantive and administrative matters, as required. The CTA will be responsible for providing broad policy and technical advice at both the central and local levels, liaison with Development Partners and support to MoHA, as necessary. The CTA will support the Governance Sector Working Group and NGPAR Programme Secretariat in the development and implementation of governance reforms and initiatives in support of the programme purpose and outputs. The CTA will support capacity building, policy research and analysis related to the programme and, with assistance from short-term technical advisors (where required), will also support the respective programme outputs.

#### **Duties and Responsibilities with Respect to Overall Programme Support**

- Support regular ongoing communication with the National Programme Manager and Programme Board Executive, in order to advise on the activity of programme staff, and on-going involvement in donor relations;
- Support the government and UNDP in the functions of donor coordination and the mobilization of additional donor funding to the Governance sector;
- Provide general technical inputs and advice in areas of reform activity where capacity gaps otherwise exist in the programme team;
- Support the government in the development and maintenance of programme annual and quarterly work- plans, budgeting, resource allocation, workload management, and performance assessment;
- Advise and support the government in the development of policy papers and technical-legal documents as required;
- Support and be involved in the organization and facilitation of programme meetings, workshops etc;
- Assist the government in designing systems for expanding experiences, lessons learned and addressing policy issues throughout the Government system; and
- Provide other such advice and support as may be required by the Government and UNDP as is to be expected in a dynamic process of governance reform.

#### **Duties and Responsibilities with Respect to Specific Programme and Project Support areas**

Output 1: Inclusive local service delivery and development.

- Oversee the overall direction of Output 1 implementation and coordination across the GID programme as a whole. Working closely with the UNCDF International Technical Specialist and Programme Manager advise on strategic application of local finance programmes and fiscal

decentralisation within the framework of advancing good governance, responsive multi-sector work plans and budgeting and better local services delivery systems.

- Advise on methodologies and practices that will support the development of community based and socially inclusive approaches to service delivery

#### Output 2: Accountability framework and citizens' engagement

- Support the design and introduction of an accountability framework to capture and use citizens' feedback on the provision of basic services and consolidate citizens' voice in local decision-making structures where service provision is discussed and managed.
- Advise on design and application of a system to regularly assess the institutional performance of district and promoting a general shift to greater accountability to citizens and administrative transparency.

#### Output 3: Partnerships & policy dialogue

- Support the establishment of partnerships for development effectiveness, defined in Output 3.
- Oversee support to the Governance Sector Working Group partnership, as well as Provincial partnerships for better service delivery of basic services to citizens

### **Skills/Competencies required**

The CTA is an experienced professional with a demonstrated track record in providing sound policy advice, strategic planning and organizational guidance. S/he has extensive experience in the governance sector, understanding the complex inter-related nature of public sector reform, justice and legal sectors, and institutional strengthening. S/he has excellent interpersonal skills and is able to negotiate with diplomacy and tact. S/he has excellent written English and capacity to provide high quality reports in a professional and timely manner. Therefore s/he is expected to have:

- Solid relevant experience (at least 15 years) in governance and public administration, reform and change management, both regionally and internationally;
- Strong understanding of the requirements of effective governance sector reform;
- Substantive experience in policy development, workshop facilitation and secretariat functions;
- Substantive experience in implementing large scale capacity development interventions, including small grants programmes;
- Solid experience in programme management, monitoring and evaluation including beneficiary driven evaluations and process facilitation;
- Familiarity and experience with the Lao program or similar programs in the region and internationally;
- Excellent oral and written English communications skills, results oriented, strong team player;
- Sound judgment, flexibility and adaptability, cultural sensitivity;
- Minimum of Master's degree in Public Administration/Public Management or closely related field.

### **Work Conditions**

Based in Vientiane, able to participate on a regular basis in provincial missions

### **9.15.6 UNCDF Technical Assistance - TOR**

#### **Overview of UNCDF Technical Assistance**

The Technical Assistance (TA) provided by UNCDF will specifically focus on Output 1: *“Targeted local administrations develop and finance the implementation of multi-sector work plans based on community priorities.”* UNCDF TA will be managed and coordinated by International Technical Specialist (UNCDF ITS), who will provide strategic, advisory and technical support to the NGPAR Programme – MoHA, in relation to strengthening local governance and local development finance. The TA will be provided applying a standard technical and knowledge transfer approach that provides for the continuous reduction of time based international inputs thus facilitating and driving technical and operational transfer. This will be achieved by starting from dedicated inputs at the beginning of programme cycle, and transitioning into on-demand technical support to assure quality impact monitoring and to address shortfalls or delay in implementation and reporting towards the later stage of the programme cycle.

#### **Duties and Responsibilities of UNCDF International Technical Specialist**

- Provide broad policy and technical advice to the GID Programme regarding review, upgrade and roll-out of an upgraded version of district development fund (DDF). The TA will primarily focus on supporting the upgrade of DDF mechanism as an effective tool for enhanced predictability and transparency of sub-national fiscal transfer mechanisms and in alignment with the evolving devolution policies and regulatory frameworks of the government (State Budget Law 2015 and 8<sup>th</sup> National Socio-Economic Development Plan);
- Provide technical assistance in identifying and piloting small scale productive infrastructure projects that utilize PPPs and blended finance solutions specifically linking GIDP with UNCDF global and regional interventions, namely Local Transformative and Uplifting Solutions (LoTUS) - Local Investment Finance (LIFE);
- Provide on demand support to the GID Programme to assist in evidence based policy formulation papers and lessons learnt reports, media articles and events;
- Assist the GID Programme in identifying areas where external technical assistance (e.g. new challenges related to DDF upgrade and legislative and policy alignment needs) will be required;
- Assist the national counterparts to develop associated TOR for consultancy missions and provide oversight support to the GID Programme in the context of the technical delivery from short-term technical advisors;
- Closely liaise with the key ministries concerned with fiscal decentralization to assure policy coherence and DDF upgrade aligned to current legislation and the respective ministry strategies;
- Provide other relevant on demand professional advice and support as may be required by the GID programme.

### **9.15.7 Partnership and Development Effectiveness Coordinator - TOR**

#### **(INTERNATIONAL UNV)**

The Partnership and Development Effectiveness Coordinator will provide inputs to policy advice and technical support to deliver relevant programme outputs and achieve outcomes. This will include support to the Programme Secretariat and Governance Sector Working Group to enhance reporting and communication with stakeholders and with international donor partners in particular.

The Partnership and Development Effectiveness Coordinator will also support the establishment and operation of development partnerships at provincial and local level to ensure more coherent and coordinated approaches to the planning, financing and delivery of SDG focused services and local economic development. This will include capacity development for partnership arrangements and liaison with departments at provincial and local level and Government agencies and donors at national level.

The Partnership and Development Effectiveness Coordinator will also be responsible for providing policy advice to the GPAR programme/ MoHA and GoL through the preparation of policy papers, workshops and other technical assistance.

Under the direct supervision of the Head of the Governance Unit, and in collaboration with the GPAR GID Programme Manager and the Chief Technical Advisor, the UN Volunteer will undertake the following tasks:

#### **Duties and Responsibilities with Respect to Programme Policy and Technical Support**

- Ensure the quality of the annual and periodic reports of the GSWG and sub groups and provide inputs to the Round Table Mechanism and Leading Committee;
- Improve the quality of regular communication and documentation of the annual work plan, annual progress report and other documents including reports related to thematic events and meeting agendas and minutes;
- Identify key lessons from the programme and submit to the Programme Secretariat and Governance Sector Working Group for policy discussions and deliberations;
- Provide support in updating and publishing GSWG related news and information including upcoming events, success stories on governance, research papers and reports on the MoHA/GPAR website;
- Provide support in improving the structure of the Governance Information Matrix in a sustainable way;
- Support relevant press conferences by drafting and editing press releases, speeches, newspaper articles and reports;
- Lead the production of brochures, handouts, leaflets, videos and photographs related to GSWG;
- Collaborate in developing, guiding and implementing a NGPAR strategic communication and outreach strategy, with particular focus on the GSWG therein; and
- Assist in information management, including papers and electronic records.

#### **Skills/Competencies required**

The Partnership and Development Effectiveness Coordinator will be a mid-level professional volunteer with at least a Bachelor degree in the field of communications/public relations or a related field, which could include public administration, political science, business administration, management or journalism. S/he has experience in working within a developing country environment, and clearly demonstrates high levels of creativity, initiative, and interpersonal skills. Therefore, s/he is expected to have:

- Minimum five years' experience in communications/public information/ public relations
- Experience in creating and editing reports, press releases, pamphlets, training materials etc.
- Prior experience in organising events, preparing action plans and conducting research
- Results orientation, with strong analytical, interpersonal, facilitation and reporting skills
- Mature personality with experience working in mixed cultural teams. Sensitivity to gender and ethnic groups related issues
- Strong oral and written English communications skills. (Lao communications skills would be an advantage)
- Prior experience in graphic design and layout of publication
- Sound knowledge of MS Word, Excel, PowerPoint, Publisher and relevant software

### **9.15.8 Inclusive Local Service and Development Coordinator (s)**

#### **(NATIONAL)–TOR**

The Inclusive Local Service and Development Coordinator will be primarily responsible for providing relevant technical support to GDP and especially the delivery of Output 1: “Targeted local administrations develop and finance the implementation of multi-sector work plans based on community priorities.” S/he will provide technical assistance in all aspects of the review, upgrade and roll-out of an upgraded version of the District Development Fund (DDF) and of the capacity development support for the enhanced public financial management (PFM) system at the sub-national level (including villages, kum-bans, districts and provinces), ranging between planning, budgeting, financing and implementing/executing plans and programmes, procurement, financial management, accounting, reporting, monitoring and evaluation. S/he will also be responsible for facilitating and supporting the liaison between MoHA and other relevant ministries (including MoF and MPI), as well as provincial and district administrations, and ensuring compliance and convergence with the agreed guidelines and approaches. S/he will report to the NGPAR Programme Manager/GDP Programme Manager and work in close collaboration with the Chief Technical Advisor (CTA), UNCDF International Technical Specialist (UNCDF ITS) and UNCDF Programme Specialist.

#### **Duties and Responsibilities**

- Provide technical assistance to the review and upgrade of DDF and effective implementation of the upgraded DDF mechanism and capacity development support for the enhanced PFM system at the sub-national level, in close communications and collaboration with the respective counterparts concerned.
- Oversee the timely implementation of sub-national planning and budgeting at provincial and district levels, in compliance with the set of guidelines and instructions under the upgraded DDF, and oversee implementation of financial management functions and procurement procedures at national, provincial and district levels.
- Assist in making adjustment to provincial and district planning and other procedures in order to take into account the lessons learned from implementation.
- Provide capacity development support for the provincial and district officials to implement the upgraded DDF guidelines and instructions (e.g. the use of financial management procedures, planning, budgeting, and implementation of activities at provincial and district levels).
- Facilitate timely provision of information on performance based grants allocation and liaise with the MoF and the MoHA regarding the DDF grants disbursement procedures, in close collaboration with UNCDF Programme Specialist.
- Track and record the DDF grants related expenditures and fund flows, in close collaboration with UNCDF Programme Specialist.
- Report to the GDP Programme Manager and liaise with the CTA, UNCDF ITS and UNCDF Programme Specialist with regards to progress of implementation, emerging issues and problems, and proposing options for their resolution.
- Determine need for additional technical assistance and assist in developing TOR, guide these short term technical advisors, and interpret recommendations into implementation planning and action.
- Facilitate preparation of annual work plans and budget under the overall framework of the GDP Programme.
- Review periodic progress reports and outputs produced to redesign and improve outputs.
- Support implementation of the Programme M&E plan and mechanisms in collaboration with MoHA and CTA.
- Assist in the supervision of national staff and international consultants.



### **Skills/Competencies required**

The Inclusive Local Service and Development Coordinator will be a development professional with extensive experience in local and participatory planning, budgeting and financial management process, advising and working with government and designing and providing capacity development support to officials. S/he has high level interpersonal and communications skills and is able to negotiate with diplomacy and tact. S/he is expected to have the following skill sets:

- Minimum bachelor degree in public administration, public finance, development, economics, international relations, social science or related disciplines.
- Minimum five years (for bachelor degree) or 3 years (for Master degree) of professional experience in the fields of public expenditure/financial management and/or public administration, capacity development support, development research and analysis.
- Sound knowledge and familiarity with the key local and national development issues in Lao PDR.
- Experience in working with local administrations in Lao PDR especially experience in local level financing, planning and budgeting desirable.
- Hands on experience in organising and facilitating capacity development workshops and multi-stakeholder consultation meetings desirable.
- A proven track record of team working.
- Excellent command of English and Lao language (both written and spoken).
- A sound knowledge of financial management software, data processing and analysis tools (Excel proficient).
- Excellent interpersonal, communications and facilitation skills.

### **9.15.9 Accountability and Citizen Engagement Coordinator(s) (NATIONAL) - TOR**

The Accountability and Citizen Engagement Coordinator will provide advisory and technical support to deliver relevant programme outputs and achieve outcomes. S/he will be primarily responsible for activities under Output 2 on citizen engagement and accountability. S/he will provide policy and technical advice at central and local levels for improving systems and effective roll out of all output initiatives intended to strengthen citizen engagement and strengthen accountability of service delivery. This will include technical support to One Door Service Centre (ODSC) initiatives in output 1 as well as helping to develop and strengthen the Service Delivery Monitoring System (SDMS) and Service Users Feedback Systems (SUFS). In addition, s/he will be expected to provide inputs to policy and technical papers and the delivery of workshops and other technical assistance in support of citizen engagement with a strong focus on women and ethnic groups. S/he will report to the GPAR GID Programme Manager and work under the technical supervision of the Chief Technical Advisor

#### **Duties and Responsibilities with Respect to Programme Policy Support**

- Provide policy inputs and be a resource-person to the National GPAR Programme for developing an evidence-based policy framework and systems for strengthening citizen engagement and accountability mechanisms in service delivery
- Provide other relevant technical advice and support as may be required by the National GPAR Programme.
- Provide other relevant professional advice and assistance as needed.

#### **Duties and Responsibilities with Respect to Programme Technical Support**

- Support the further development, roll out and mainstreaming of the Service Users Feedback System (SUFS), including inputs to design and cost effective, sustainable methods for implementation;
- Provide technical support and guidance to enable the SUFS to provide gender and ethnic disaggregated feedback from citizens;
- Support the development of SDMS and SUFS to be able to provide an index of performance of local governance effectiveness, such as the Public Administration Performance Index (PAPI) in Vietnam;
- Develop smart initiatives to strengthen citizen engagement with local administration and assist in devising mechanisms to improve accountability in service delivery at province and district levels, including links to People's Provincial Assemblies;
- Work with counterparts at national and sub national levels to develop capacity for implementing citizen engagement and accountability initiatives;
- Liaise with and report to the Programme Manager and CTA with regards to progress of implementation, emerging issues and problems, and proposing options for their resolution;
- Determine need for additional technical assistance and assist to develop Terms of Reference, guide the short term technical advisors, and interpret recommendations into implementation plans for implementation;
- Facilitate the preparation of annual work plans in collaboration with the overall National GPAR Programme;
- Review periodic progress reports and outputs produced to redesign and improve outputs;
- Support the implementation of the Programme M&E plan and mechanisms in collaboration with MoHA and the Programme CTA; and
- Assist in the supervision of national staff and international consultants.

**Skills/Competencies required**

The Accountability and Citizen Engagement Coordinator is an experienced professional with a demonstrated track record in providing sound technical support and policy advice to projects/ programmes in the delivery of citizen services, monitoring service delivery, community mobilisation and communication and public engagement. S/he will have experience in designing service monitoring and service/ customer evaluation systems, conducting focal group discussions with strong familiarity of participatory planning processes and local accountability systems. S/he has extensive experience in advising counterpart agencies of appropriate policies, strategies and systems that can be sustained. S/he has high level interpersonal skills and is able to negotiate with diplomacy and tact. S/he has excellent written English and capacity to provide high quality reports in a professional and timely manner. Therefore s/he is expected to have:

- A relevant post-graduate degree in public administration, communication, the social sciences or related disciplines
- At least five years of practical experience in working on service delivery issues in the public sector
- Familiarity with participatory planning and local service delivery
- Sound knowledge of Lao PDR and its local administrative system
- Proven track record of working successfully as part of a team of professionals
- Good communications and facilitation skills
- Fluent command of spoken and written English

#### **9.15.10 Partnerships Coordinator / Assistant to Programme Manager (s) (NATIONAL) -TOR**

The Partnerships Coordinator / Assistant to Programme Manager has dual roles of providing programme policy and technical support to the GPAR GID programme, and assisting the GPAR GID Programme Manager in the execution of aspects of his/her responsibilities in relation to day to day programme implementation. S/he will have a specific technical responsibility for Output 3, with a focuses on partnerships and policy dialogue, and a public services innovation facility. S/he will provide inputs to policy advice and technical support to deliver relevant programme outputs and achieve overall outcomes. This will include support to the Programme Secretariat and Governance Sector Working Group to enhance reporting and communication with stakeholders and with international donor partners in particular.

S/he will report to the GPAR GID Programme Manager and work under the technical supervision of the Chief Technical Advisor, and work closely with the Partnership and Development Effectiveness Coordinator (IUNV).

#### **Duties and Responsibilities with Respect to Programme Policy and Technical Support**

- Support the National GPAR Programme Secretariat on establishing and sustaining effective coordination between Dept. of Planning & Cooperation of MoHA, the Governance Sector Working Group Secretariat and related stakeholders, which will include
  - High level institutional mechanisms to provide oversight and coordination across the Governance sector;
  - Strengthening capacity in Ministry of Home Affairs to effectively coordinate and monitor the implementation of the GPAR programme and related activities
  - Coordination of development partner assistance through the Governance Sector Working Group, and resource mobilization to support programme implementation;
- Help strengthen the content, substance and quality of the annual and periodic reports of the GSWG and sub groups and inputs to the Round Table Mechanism and Leading Committee, including;
  - Contribute to improving regular communication and documentation relating to the GSWG, including GSWS and PSI Sub Sector Working Group meeting reports and thematic events reports.
  - Oversee the regular updating of information on the MoHA/GPAR website from GSWG perspective and post upcoming events, success stories on governance, research papers and reports
  - Help to improve the structure and maintenance of the Governance Information Matrix
- Provide policy and design advice to the development of a small grants innovation facility that will address bottlenecks in local service provision, while simultaneously encouraging a multi-sector approach and proposal made jointly by local administration and local community, civil society or private sector.
- Manage the day to day operation of the public service innovation facility, from initial expression of interest, training, proposal selection criteria, grant award, implementation and reporting on / analysing results against the overall objectives of the innovation facility.
- Liaise with and report to the Programme Manager and CTA with regards to progress of implementation, emerging issues and problems, and proposing options for their resolution
- Determine need for additional technical assistance and assist to develop Terms of Reference, guide these short term technical advisors, and interpret recommendations into implementation plans for action.
- Facilitate the preparation of annual work plans in collaboration with the overall National GPAR Programme.

### **Duties and Responsibilities as Assistant to Programme Manager**

- Contribute to regular reporting on progress and regular analysis of progress towards overall results, including the regular implementation and monitoring of the Programme M&E plan and mechanisms in collaboration with MoHA and the Programme CTA
- Improve regular communication and quality of documentation relating to the annual work plan, annual progress report and other GPAR GIDP reports, minutes of meetings agendas and similar
- Assist in information management, including paper and electronic records
- Assist Programme Manager in communications to key stakeholders-government organisations and Development Partners.
- Review periodic progress reports and outputs produced to redesign and improve quality of information on progress towards results.
- Provide oversight and logistical support for relevant related activities, including assisting in preparing documents for workshops, conferences and meetings workshops, translations, training, and reporting
- Assist in the supervision of national staff and international consultants.

### **Skills/Competencies required**

S/he is likely to be an experienced professional with a demonstrated track record in providing sound technical support and policy advice to projects/ programmes on governance related matters and public service delivery. S/he will have a proven ability to coordinate, guide and support the efficient operation of a multi-stakeholder Secretariat. S/he will have experience in managing small grants schemes, ideally related to public administration and local community/civil society. S/he demonstrates high levels of responsibility, initiative, and interpersonal skills, and has an ability to negotiate with diplomacy and tact. S/he has excellent written English and capacity to provide high quality reports in a professional and timely manner. Therefore s/he is expected to have:

- A relevant post-graduate degree in public administration, finance, social sciences or related disciplines
- At least five years of practical experience in working on public administration reform / service delivery issues in the public sector
- Experience in facilitating the operation of a multi-stakeholder secretariat or equivalent working group
- Experience in managing small grant schemes or similar financial management role
- Strong analytical skills and reporting expertise
- Sound knowledge of development project management, project cycle, project annual planning / budgeting, reporting and monitoring progress towards results. (UNDP / NIM experience an advantage),
- Proven track record of working successfully as part of a team of professionals
- Good communications and facilitation skills
- Fluent command of spoken and written English

### **9.15.11 Finance Support Coordinator (NATIONAL) -TOR**

The National GPAR Programme Finance Support Coordinator will support the Head of the Finance Office of the Ministry of Home Affairs to execute programme finance management, and support the National Programme Manager in preparing annual & quarterly budgets and expenditure reports, required by different development partners supporting the national GPAR Programme. This position will also support needs in relation to capacity development in the Ministry of Home Affairs to take on a growing role in managing external assistance as well as support channelled to other ministries, provinces, districts or other offices by the Ministry of Home Affairs. S/he will report to the GPAR GID Programme Manager.

#### **Duties and Responsibilities**

- Establish and help MOHA implement oversight of all programme accounting activities including financial records, reporting, payments, and support for related programme activities
- Assist MoHA to prepare annual and quarterly budget plan
- Facilitate MoHA's team to carry out regular updating of financial system and records, and compilation of monthly, quarterly and annual budget expenditure reports,
- Enable MoHA to release field advances and petty cash funds in accordance with the NIM guidelines and other applicable financial procedures related to agreements with particular development partners
- Assist MoHA to verify payment, direct advance and contract payment request and settle advances
- Follow up on reconciliation of direct payments executed by development partners, including UNDP
- Prepare reports for settling advances from development partners, and related advance requests
- Monitor and analyse programme transactions in relation to approved budgets, for budget revisions
- Advise MoHA on acceptable and requisite accounting and financial management practices, including NIM
- Ensure recommendations/guidelines/instructions from Audit reports are complied with
- Provide and present report to Monthly Programme Meetings

#### **Skills/Competencies required**

The National GPAR Programme Finance Support Coordinator position is a mid-level professional with prior experience in supporting a diversified portfolio of development assistance, with strong analytical skills and reporting expertise. S/He needs to have experience in working within a developing project environment, clearly demonstrates high levels of responsibility, initiative, and interpersonal skills, and has an ability to negotiate with diplomacy and tact. Therefore s/he is expected to have:

- Minimum of a Bachelor degree in the field of accounting or finance management
- Minimum of five years' experience in the field of financial management
- Solid experience in creating technical financial reports (experience with UNDP / NIM systems an advantage)
- Results orientation, with strong analytical, interpersonal, communication and reporting skills;
- Sound working knowledge of MS Word, Excel, PowerPoint, and other relevant software;
- Excellent written and oral English;
- Some experience in training and skills transfer; and
- Experience working within a multicultural, consultative team.

In addition, s/he should be available to undertake travel to the provinces to provide support to project activities as necessary.

### **9.15.12 Accountant / Administrator (NATIONAL) – TOR**

The national GPAR Accountant / Administrator will support the Head of the Finance Office of the Ministry of Home Affairs to perform routine accounting functions, and support the National Programme Manager and National GPAR Programme Finance Support Coordinator in preparing annual & quarterly budgets and expenditure reports, required by different development partners supporting the national GPAR Programme. This position will also support the Finance Office in relation to managing external assistance channelled to other ministries, provinces, districts or other offices by Ministry of Home Affairs. S/he will have specific responsibility to support the finance transactions, reconciliation of accounts and financial reporting on the Public Service Innovation Facility (Output 3).

S/he will also support the National GPAR Programme Manager and the Dept. of Planning & Cooperation of MOHA, in organizing and implementing the activities of the National GPAR and GID Programme. This position will also support needs in relation to events organized by the Programme for the Ministry of Home Affairs, procurement of assets and services supported by the Programme, maintaining inventories and stocks, and facilitating services required by GID programme's international personnel. S/he will report to the GPAR GID Programme Manager and work closely with both the Finance Support Coordinator and the Partnerships Coordinator / Assistant to Programme Manager.

#### **Duties and Responsibilities**

- Support MoHA in carrying out all routine financial transactions and preparation of related documents such as payment requests, vouchers and reconciliation related to the National GPAR Programme
- Facilitate timely completion of accounting documents to enable regular updating of financial system and records, including overall programme monthly, quarterly and annual expenditure reports
- As programme accountant for the Public Service Innovation Facility, ensure timely completion of accounting documents to enable regular updating of financial system and records, including sub-programme/grants monthly, quarterly and annual expenditure reports
- Assist MoHA in preparation of payment requests, advance requests, contract payments, and making and settling field advances and petty cash funds in accordance with NIM/other relevant guidelines
- Support MoHA and the National GPAR Programme Finance Support Coordinator in liaising with the finance offices of different development partners supporting the National GPAR Programme
- Participate in meetings to review/monitor budgets and expenditure and assist the GPAR Programme Finance Support Coordinator in preparing and presenting report to Monthly Programme meetings
- Assist the preparation of GID annual programme procurement plan and provide logistical support for implementing programme activities
- Manage procurement of office supplies, materials, printing and services, and manage/maintain the inventory list and maintenance list for all programme equipment
- Facilitate logistical support for organizing workshops, conferences and meetings
- Maintain GID programme files and documents of all official correspondence, and draft and finalize minutes of meetings such as monthly meetings
- Prepare documentation and provide support to recruit international consultants, and manage visa formalities, travel arrangements, etc. related to programme staff and international consultants
- Assist in communications to key stakeholders-government organizations and Development Partners
- Receive visitors and answer telephones when required, and accompany Lao officials and international staff to meetings when required

**Skills/Competencies required**

The national GPAR Accountant / Administrator is a mid-level professional with prior experience in accounting functions and office administration with a large diversified portfolio of development assistance, displaying high levels of systematic work and strong organizational skills. S/He needs to have experience in working within a developing project environment, clearly demonstrates high levels of responsibility, initiative, and interpersonal skills, and has an ability to negotiate with diplomacy and tact. Therefore s/he is expected to have:

- Minimum of a Bachelor degree in the field of accounting, or finance management
- Minimum of five years' experience in accounting, and preparing related vouchers and documentation
- Hands on experience in managing advances and petty cash with development assistance projects
- Solid experience in providing administrative and logistical support to projects
- Good knowledge of government administrative procedures (visa)
- Track record of systematic document management and superior interpersonal and reporting skills
- Sound working knowledge of MS Word, Excel, PowerPoint, and other relevant software;
- Strong oral and written English communications skills, results oriented, strong team player
- Sound judgment, flexibility and adaptability, cultural sensitivity.
- Experience working within a multicultural, consultative team.

In addition, s/he should be available to undertake travel to the provinces to provide support to project activities as necessary.



### **9.15.13 National GPAR Programme Secretary - (MoHA Position)**

The National GPAR Programme Secretary (national) will support the National GPAR Programme Manager and the Dept. of Planning & Cooperation of MoHA, in organizing and implementing the activities of the National GPAR Programme and GID programme. This position will also support needs in relation to events organized by the GSWG Secretariat for the Ministry of Home Affairs, management of documents, interfacing with visitors, organizing and scheduling meetings, managing petty cash (when required), and telecommunication on behalf of the programme. The position is for MoHA staff and follows the normal MoHA reporting lines.

#### **Duties and Responsibilities**

- Assist the GPAR and GID Programmes to receive, screen, register and file or route correspondence;
- Receive visitors, place and screen telephone, fax and email communications effectively;
- Make all practical arrangements for meetings taking place in the office, confirm date and venue with participants, prepare meeting room and supplies;
- Type correspondence, documents and reports, and ensure proper editing of the documents;
- Where requested create brief communications (emails, memos, letters)
- Maintain list of names, addresses and other contact details of all working contacts;
- Ensure registration of outgoing documents and arrange for distribution of these documents to concerned parties;
- Ensure proper filing and archiving of all office documents;
- Maintain petty cash record for daily office expenditures
- Coordinate/manage the programme log books for all programme vehicles (including analysis of petrol usage)

#### **Skills/Competencies required**

The National GPAR Programme Secretary is an early professional, who is well organized and communicates effectively. S/He needs to have some experience in working within a developing project environment, clearly demonstrates high levels of responsibility, initiative, and interpersonal skills, and has an ability to negotiate with diplomacy and tact. Therefore s/he is expected to have:

- Minimum of a Bachelor degree
- Minimum of two years' experience in working with development projects
- Good knowledge of a range of software programs
- Good English language skills
- Strong organizational skills and ability to manage time effectively
- Capacity to establish and maintain office procedures
- Strong team player, who is flexible and adaptable and displays cultural sensitivity.

## Updated RRF (applied from Q2 2019)

### Project Title: Governance for Inclusive Development Programme (GIDP)

- GIDP Outcome Statement (CPD Outcome 3/UNPF Outcome 7): Institutions and policies at national and local level support the delivery of quality services that better respond to citizens' needs

- GIDP Outcome Statement: Local institutions are able to increase the coverage of basic services and include citizens' feedback in the planning cycle for services provision by 2020

- *number of additional households (235,000 by GIDP) receive two or more basic services<sup>1</sup> from their districts*  
- Baseline: 373,948 (2015) / Target: Y1: 0, Y2: +45,000, Y3: +45,000, Y4: +145,000 (Total UNPF: 600,000)
- *number of people (disaggregated by sex, age, disability & ethnicity) give feedback on services received*  
- Baseline: 0 / Target: Y1: 3,500, Y2: 7,000, Y3: 10,500, Y4: 15,750 (Total: 36,750)
- *number of district level multi-sector, participatory annual service project plans implemented as planned*  
- Baseline: 662 / Target: Y1:0, Y2:50, Y3: 98, Y4:228 (Total: 376)<sup>2</sup>
- *Extent to which NSEDP monitoring informs evidence-based policy making in quality service delivery based on people's needs*  
- Baseline: Limited extent (2015) / Target: Large extent (2021)

Contributing to:

UNDP CPD (2017-2021) Output 3.1: Local administrations able to develop and finance multi-sectoral plans based on community priorities

UNDP Strategic Plan Output 2.2.2 (2017-2021): Constitution-making, electoral and parliamentary processes and institutions strengthened to promote inclusion, transparency and accountability.

<sup>1</sup> Basic services: Community prioritised local services, as defined in DDF Guidelines, viz. Health (e.g. clean water / sanitation, clinics, outreach health services etc.); Education (Schools, promotion, inspection/standards, etc); Agriculture (e.g. irrigation, technical visits/instruction, outreach services, etc.); Public Works (e.g. Access via local bridge & road, markets, outreach services & community-based maintenance, etc)

<sup>2</sup> The annual and total targets for number of projects include both capital investment (Basic Block Grant and non-capital) and (Operational Expenditure Block Grant)

UNCDF local development practice theory of change

Outputs	Indicators	Key Rubrics (SDC) Dimension	Baselines	Targets (Annual)	Activities	Responsible Party/ Implementing Organization
<p>1. Targeted local administrations are able to develop and finance the implementation of multi-sector work plans based on community priorities</p>	<p>1.1 Number of DDF-financed district multi-sector project work plans <b>co-financed</b> by the government</p> <p>a) Number of DDF proposals received from districts</p> <p>b) Number of DDF proposals awarded</p> <p>c) Amount (USD) of government's co-financing</p>	<p># 3 Decentralisation &amp;</p> <p>#5; Social inclusion</p>	<p>1.1.a. 0 (N/A)</p> <p>1.1.b. 0</p> <p>1.1.c. 0</p>	<p>1.1.a. (# DDF BBG proposals received)</p> <p>2018:70, 2019:50 2020: 50, 2021: 0 (Total BBG: 170)</p> <p>1.1.b. (# DDF awards)</p> <p>2019: 12</p> <p>2020: 16</p> <p>2021: 39 (includes BBG / OEBG)</p>	<p>1.1.1. Upgrade and implement DDF system, guidelines and manuals (incl. State's co-financing and new Inter Ministry Committee) (linked with 1.2)</p> <p>1.1.2. Select high priority local basic service infrastructure by District Investment Committees (linked with 1.3)</p>	<p>UNCDF/UNDP</p> <p>MoHA</p>

	DDF funded proposals			(Total: 67)	1.1.3. Approve and award DDF capital and non-capital service programme grants	
				1.1.c. (\$ DDF BBG co-financed by State budget)	1.2.1. Set up and maintain standardized record system of compliance with GoL planning and financing system and DDF manual	
				2018:0,	1.3.1. Progress reporting on DDF services granted and delivered, disaggregated by social inclusion (women and	
				2019: 57,000		
				2020: 60,000		
				2021: 243,000 <sup>3</sup>		
				(Total State Co-financing = \$360,000)		
	1.2 % of DDF-financed district multi-sector project work plans and budget which		1.2. 0% <sup>4</sup>	1.2. 2018: 0%		
				2019: 13% <sup>5</sup>		
				2020: 26%		

<sup>3</sup> Based on full funding of DDF (\$2.4m)

<sup>4</sup> In 2016, 6 DDF plans/awards of total 16 DDF plans/awards addressed gender/social-sector needs. i.e. 38%

<sup>5</sup> Outcome Indicator: 50 DDF Projects / total 376 = 13%, 98/376 = 26%; 228/376 = 60% (Annual Targets)

	address/target the needs of communities including women and other social groups			2021: 60%  (ii) Above are annual targets. (ii) Denominator: BBG 67 +OEBG 309 = 376 projects)  (See footnote)	ethnic groups, other social groups) 1.4.1. TA support to MoF on the design of Provincial Formula-based budget allocation 1.5.1. Design, develop and demonstrate model ODSC	
	1.3 # of policy and/or regulatory change to support enhanced financing for district administrations		1.3. Budget law 2016 and Draft PFM Reform Strategy (2017).	2018: 0  2019: 1 (DDF Ops Manual)  2020: 1  e.g. OEBG manual)  2021: 0  (annual targets)		
2. Accountability framework applied at the district level to capture and use citizens' feedback on provision of basic services	2.1.# of districts applying the updated DSDMS and the updated SUFS giving local citizens' voice on basic service delivery	# 3 Decentralisation	2.1. 2 Districts applied SUFS (previous) and DSDMS in a gender sensitive manner (2015)	2018: 0  2019: 4 (Surveys)  2020: 6 (apply results)  2021: 6 (Survey)  Total: 6	2.1.1. Update the DSDMS tool and SUFS using participatory techniques (linked with 2.2.) 2.1.2. Field test and report on the updated DSDMS	UNDP  MoHA

				(Cumulative Targets / repeats)	tool and SUFS in selected districts & capacity development on usage (linked with DDF districts)	
	2.2.% of SUFS recommendations (per district, disaggregated by type) which are integrated into district planning		2.2. 0% <sup>6</sup>	2018: 0% 2019: 0% 2020: 25% of SUFS recommendations into planning 2021: 50% of SUFS recommendations into planning	2.1.3. Present findings from the updated DSDMS tool and SUFS to selected districts, PPAs and GSWG 2.1.4. Introduce the updated DSDMS and SUFS to other districts 2.2.1. Capacity development on evidence-based planning using SUFS results (incl. PPAs)	
	2.3 # of districts' reports on SUFS recommendations made accessible to the PPAs and communities		2.3. 2 districts using SUFS (2015) prepared reports on implementation and disseminated	2018: 0 2019: 4 2020: 6 2021: 6	2.2.2. Monitor usage of SUFS results by PPAs 2.3.1. Share SUFS reports with concerned	

<sup>6</sup> 2 districts used SUFS in 2015 but no data on recommendations which were integrated into district planning.

			through internal channels, but not reports were made accessible to public or media.	Total: 6	authorities, PPAs and communities (recommendations per district, disaggregated by type) 2.4.1. Link Digital Service Mapping exercise with DDF	
3 Enhanced multi-stakeholder governance processes promoting dialogue and feeding into good governance related policies including the delivery of basic services	3.1 Perceptions of dialogue partners (govt, academia, civil society, private sector) on utility and quality of multi-stakeholder dialogue process	#2: Conducive environment for citizens' participation  #1: Participation of organised society	3.1. 24 multi-stakeholder policy discussions facilitated under the GSWG but no data on perceptions of dialogue partners on utility and quality of multi-stakeholder dialogue process 1 Very low 2 Low  3 Medium	2018: 25% 2019: 30% 2020: 40% 2021: 50%  [Summary of % satisfaction rating using survey data weighting Scoring weights TBC. (E.g. Rating 1 = -2/ Rating 2 = -1 Rating 3=1, Rating 4= +2 Rating 5=+3)]	3.1.1. Convene, monitor and report on GS and Sub-WGs according to annual plan and implement activities related to NSEDP and SDGs  3.2.1. Support MoHA in local governance policy and regulation development  3.2.2. Support MoHA in developing gender mainstreaming approach, tools and guidelines	UNDP  MoHA

			4 High 5 Very high		3.2.3. Deliver policy/law briefing sessions (at the national and provincial levels)	
	3.2 # of governance related policies / priorities informed through multi-stakeholder discussions facilitated under the GSWG at the national and provincial levels		3.2. 0 (2016) <sup>7</sup>	2017: 6 new GSWG discussions (annual) 2018: 6 new GSWG discussions (annual) 2019: 6 new GSWG discussions (annual) 2020: 6 new GSWG discussions (annual) (Total:24)	3.3.1. Design PSIF Mgmt. manual (promote partnerships) 3.3.2. Implement and monitor PSIF	
	3.3 % of PSIF proposals out of the total awarded		3.3. 2017: 0 * <i>The CADEM public</i>	PSIF grants 2018: 10%		

<sup>7</sup> 21 - based on number of GSWG / SSWG discussions on governance matters under GPAR SCSD 2012 - 2016



	<p>that promote partnerships between local administrations and NPAs for improved service delivery; -</p>		<p><i>administration enhancement &amp; modernization grants are a related precursor to PSIF. 76 CADEM grants provided to end of previous GPAR project phase in 2016</i></p>	<p>2019: 10% 2020: 15% 2021: 20%</p>		
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