



PROJECT DOCUMENT
Republic of Kazakhstan

Project Title: Capacity Development of Public Servants for Advancing Digital Transformation and Digital Governance.
Project Number: 01002236
Implementing Partner: UNDP Kazakhstan
Start Date: 25/03/2024 **End Date:** 31/12/2026 **PAC Meeting date:** 20/03/2024

Brief Description
This project covers twelve countries situated in three geographical regions, i.e., in the Caucasus, and in Asia and the Pacific, which have taken some steps towards the digitalisation of their government operations and processes and for the delivery of public services to business and citizens, however in a varying degree. Moreover, most of them have also embraced the notion of digital transformation and of digital governance in their development strategies, although much still needs to be done towards their goal for digital transformation; incorporating the latest digital technologies, i.e., evidence-based policy formulation and implementation by harnessing abundant “big data”, or for the provision of proactive, efficient, and effective public services digitally. Hence, this project – fully recognising the value of digital transformation and of digital governance – aims at further developing the capacities of public servants at different levels of government by transferring knowledge and experience enabling them to implement initiatives that will advance digital transformation and digital governance in their countries. It is expected that such knowledge and experience sharing will assist the participating countries to further develop policies initiatives that will allow them to establish data-driven public sectors for evidence-based policy making and implementation, and to introduce digital open governments that are proactive and user-driven resulting to efficient and effective public service provision and an increase of trust in government. Ultimately, utilising digitalisation for shaping public governance outcomes will be beneficial for their citizens. The project is a joint development cooperation initiative of the United Nations Development Programme (UNDP) in Kazakhstan and the Ministry of the Interior and Safety (MOIS) of the Republic of Korea. UNDP will utilise the Astana Civil Service Hub (ACSH) – its knowledge exchange institutional platform - to implement it. The ACSH is a flagship initiative of the Government of Kazakhstan and UNDP created in 2013 by five international organisations and twenty-five countries. Nowadays, the ACSH comprises forty-three participating countries and it is allied with over ninety regional and international development-related organisations which provide their accumulated expertise and knowledge to its participating countries on demand. Over the past ten years, the ACSH has become an internationally recognised knowledge and experience exchange centre, and it already has an established enabling framework, a regional mechanism for knowledge exchange and networking, through which it supports countries in the region and beyond to establish forward looking civil servants, as well as state of the art public service delivery systems. The ACSH will use its knowledge and information exchange platform to contribute to the advancement of digital transformation in the twelve participating countries. Together with Korean experts, it will also disseminate and transfer technical expertise on the digital transformation process, drawing from Korea’s extensive experience in this field.

Contributing Outcome (UNSDCF): 2.2 By 2025, state institutions at all levels effectively design and implement gender-sensitive, human rights- and evidence-based public policies, and provide quality services in an inclusive, transparent, and accountable manner. Indicative Output(s): Output 2.2: Institutions and systems enabled to develop and implement institutional reforms towards more effective, transparent, and inclusive governance and service provision at the national and local levels. Gender Marker: GEN 1.	Total resources required (USD):	1,426,147	
	Total resources allocated (USD):	1,426,147	
		Donor: Government of Korea	1,296,500
		UNDP parallel contribution:	129,647

Agreed by:

Implementing Partner / UNDP	
Katarzyna Wawrzyniak, UNDP Resident Representative	Date: 27-Mar-2024

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I. DEVELOPMENT CHALLENGE

The twelve countries, situated in three different geographical regions – the Caucasus and Central and South-East Asia – have already taken considerable steps towards digital transformation of their governments, economies, and societies. However, such steps vary in degree and pace, thus, having reached different stages on the digital transformation path. Against this background, this capacity development project aims at exchanging and transferring knowledge and experience, thus enabling participants to learn from each other for the benefit of all the countries involved in the project.

To date, the overwhelming majority of these countries' digitalisation-related initiatives focus on the digitalisation of public services and their delivery through a multitude of delivery channels, i.e., through web and/or mobile applications. These initiatives are complemented by numerous projects in areas considered prerequisites for advancing their digital transformation process, i.e., improving internet connectivity, developing integrated data centres, developing electronic ID and digital signature systems, fully digitalising public service provision and delivery, and adapting international digital standards in several areas, i.e., information and system security, personal data protection, etc. Furthermore, these countries also focus on introducing and/or consolidating legal and institutional frameworks for digital governance that promote openness, transparency, accountability, de-bureaucratisation, and trust in government. In addition, they focus on initiatives on how to use big data for evidence-based policy making and implementation, as well as how to mainstream AI systems in government operations and public service provision and delivery.

In sum, such initiatives aim at pursuing the digital transformation of the participating countries, and they include the delivery of e-government as a platform and the seamless development of digital services, the integration of on-line and off-line multichannel delivery mechanisms, the adoption of data-centric approaches and the use of AI and blockchain technologies, in their efforts to strengthen their digital capacities to deliver people-centric public services. All supported by whole-of-government integration and whole-of-society engagement initiatives.

The positive change in the most recent (2022) e-Government Index (EGDI) scores for the twelve participating countries corroborates that all are pursuing strategies and policies leading towards their digital transformation strategies, with some variation among them, primarily due to their stage of overall development. In fact, digitalisation is an integral part of the national medium- and long-term policy priorities, manifested through their strategies and action plans that clearly delineate the goals and objectives for digitalisation of government operations and the provision of public services.

Table 1: EGDI Scores (2022)

Country	EGDI Group	EGDI Ranking	EGDI Score 2020	EGDI score 2022	Human capital index score	Income level
Caucasus						
Armenia	High	64	0.7136	0.7364	0.7945	Lower middle
Azerbaijan	High	83	0.7100	0.6937	0.7932	Upper middle
Georgia	Very high	60	0.7174	0.7501	0.8984	Lower middle
Central Asia						
Kazakhstan	Very high	28	0.8375	0.8628	0.9021	Upper middle
Kyrgyzstan	High	81	0.6749	0.6977	0.8119	Lower middle
Tajikistan	High	129	0.4649	0.5039	0.7380	Lower middle
Uzbekistan	High	69	0.6665	0.7265	0.7778	Lower middle
Asia and the Pacific						
Bangladesh	High	111	0.5189	0.5630	0.5900	Lower middle
Cambodia	High	127	0.5113	0.5056	0.5380	Lower middle
Lao PDR	Medium	159	0.3288	0.3764	0.5468	Lower middle
Mongolia	High	74	0.6497	0.7209	0.8391	Lower middle
Philippines	High	89	0.6892	0.6523	0.7629	Lower middle

Source : <https://desapublications.un.org/sites/default/files/publications/2022-09/Web%20version%20E-Government%202022.pdf>

Furthermore, according to the MOIS Readiness Index,¹ most of these countries are classified between possessing a medium- or high-level of readiness for digitalisation, as political will is strong and numerous thematic initiatives are included in their national strategies and action plans for digital transformation. However, many of them still need to put in place a broad organisational alignment for steering the digital transformation process, and to provide adequate capacity to their human resources to achieve their envisioned goals. Hence, despite the substantial effort these countries are undertaking towards their digital transformation, they are still confronted with challenges that need to be resolved for moving forward uninterrupted. It is expected that activities envisioned in this project will facilitate this process through exchange of experience and knowledge among the participating countries, and with specialised international organisations and the Republic of Korea in pursuing their objectives for digital transformation.²

II. STRATEGY

The underlying theory of change for this project assumes that achieving inclusive growth requires the participation of human capital that is empowered with knowledge and skills to contribute to inclusive growth that is based, among other, on achievement of gender equality and women’s empowerment and their improved access to the digital realm. It further assumes that achieving inclusive growth also requires inclusive institutions and a professional civil service in place to create an enabling environment to improve the lives of people. In this context, utilisation of tools and approaches that will enable governments to introduce innovative practices contributing to their digital transformation will certainly contribute to improving the well-being of their citizens.

In achieving such objectives, human capital development is needed to upgrade, improve and/or transform the skills and productive capacities in employing innovative practices in the digital realm. For this purpose, UNDP will utilise the Astana Civil Service Hub – its multilateral institutional platform for knowledge and experience exchange - to support the participating countries efforts towards their digital transformation. UNDP together with the Ministry of the Interior and Safety and the National Information Society Agency of the Republic of Korea will put forward new approaches in adopting practices leading to digital transformation.

This approach is also informed by the lessons learnt in implementing a similar capacity development project over the past three years (2021-2023). According to the findings of an impact assessment survey conducted in May 2023 - among 109 unique individuals, mid- and high-ranking executives in government involved in innovation and digitalisation policy and practices and in the provision of digital public services from the seven participating countries - the majority expressed the view that the project workshops helped them acquire new skills and knowledge on a range of related issues, i.e., design of digital policies, comparing digitalisation plans across different countries, provision of public services in the countries of Central Asia and the Caucasus, development trends in digital transformation, data governance and management, etc.

Experience also demonstrates that such knowledge and experience sharing has led to policy improvements in many countries as they learn from each other’s experience and each other’s challenges. It is thus expected that the systematic organisation and prioritisation of knowledge and experience dissemination among the participating countries will yield benefits for all.

In sum, the project strategy is based on the premise that for governments to advance their digital transformation policy agendas, they need to engage capable and informed individuals, who will contribute to the formulation and implementation of policies and practices aimed at moving forward on their digital transformation path. In this context, the project activities focus on sharing experience and knowledge on a variety of issues pertinent to digital transformation among policy makers and other practitioners in the participating countries. They also focus on the exposure of the project participants to policies and practices of other countries that have made a head start in this area, such as Korea.

By bringing together relevant stakeholders - mid- and high-ranking government practitioners from the participating countries – and Korean experts from the National Information Society Agency (NIA) and other Korean institutions, the project plans to facilitate a systematic exchange of knowledge and experience in the

¹ Ministry of the Interior and Safety of the Republic of Korea, 2020.

² See also Annex 1: Situation analysis of the participating countries on digital transformation.

digital transformation realm. It is expected that such networking experience will lead the participating countries to devise more resilient policies for digital transformation, making certain that the quality of life of their citizens is improved.

III. RESULTS AND PARTNERSHIPS

Expected Results

The project will provide systematic capacity development to public servants from different levels of government of the participating countries. The project has two outputs. The first comprises a series of workshops, and the production and publication of some knowledge products, as well as a fact-finding inter-regional conference to determine the areas the workshops will focus on. The second output is a series of study visits to Korea, aimed at exposing the representatives of the participating countries to digital transformation policies and practices already in place.

Overall, the outputs of the project are oriented towards transferring knowledge and expertise to public servants from the participating countries on digital governance and digital transformation. The ultimate aim of the project is to contribute to effective design and implementation of evidence-based public policies and practices in an inclusive, transparent, and accountable manner, and the establishment of responsive governance systems that are strengthened for promoting socio-economic opportunities, and inclusive service delivery.

Subsequently, this project aspires to contribute towards the goal for state institutions at all levels to effectively design and implement gender-responsive, human rights- and evidence-based policies, and provide quality public services in an inclusive, transparent, and accountable manner improving the quality of life for the citizens of the participating countries in congruence with UNSDCF Outcome 2.2. Additionally, the expected results of the proposed project are aligned with the objectives of the UNDP Digital Strategy 2022-2025,³ which constitutes one of three enablers in UNDP’s 2022-2025 Strategic Plan.⁴ This new Digital Strategy guides UNDP in its efforts to support countries to build inclusive, ethical, and sustainable digital societies, and it complements the UN’s wide-ranging global efforts to boost the digital capacity of vulnerable and marginalised groups including women and people with disabilities.⁵

Moreover, a random survey of the UNDP Country Programme Documents (CPD) from several of the target countries has also revealed the congruence of the proposed project with UNDP’s priorities on digital transformation in the target countries.⁶ Consequently, the support of the UNDP Country Offices towards the digital transformation efforts of the target countries enhances the prospects for the project achieving its ultimate objectives.

Resources Required to Achieve the Expected Results

The project will be financed by MOIS and UNDP and it will be implemented in accordance with UNDP Rules, Regulations, Policies, and Procedures. In addition to financial resources, the project will engage human, expert, and institutional resources, including the UNDP/ACSH implementation team;⁷ experts from the UNDP

³ <https://digitalstrategy.undp.org/>

⁴ <https://www.undp.org/publications/undp-strategic-plan-2022-2025>

⁵ The Digital Strategy 2022-2025 intends to maintain and accelerate the momentum that has already been generated across UNDP and among its partners. Indeed, many of the components are already in place such as: the Accelerator Labs – a network of 91 labs covering 115 countries to support local innovation; the Digital Advocates Network – a community which promotes digital and builds capacity through training and exchange of knowledge to further the digital maturity of UNDP Country Offices; a comprehensive IT transformation plan; and the Chief Digital Office – responsible for leading the development and implementation of UNDP’s Digital Strategy.

⁶ United Nations DP/DCP/KAZ/4, CPD for Kazakhstan (2021-2025); United Nations DP/DCP/KGZ/4, CPD for the Kyrgyz Republic (2023-2027); United Nations DP/DCP/GEO/4, CPD for Georgia (2021-2025); United Nations DP/DCP/UZB, Draft CPD for Uzbekistan (2021-2025); United Nations DP/DCP/AZE/5, CPD for Azerbaijan (2021-2025); United Nations DP/DCP/ARM/4, CPD for Armenia (2021-2025).

⁷ The ACSH team is already in place, consisting of professional staff – project manager, and specialists; and assistants to manage organisational, administrative, procurement, human resources, and financial aspects of project implementation.

Country Office and the Istanbul Regional Hub;⁸ other development organisations, i.e., the OECD, the World Bank, etc; and external service providers, when required.

Partnerships

The project will capitalise on the existing partnership among UNDP, ACSH, and MOIS. The partnership with MOIS and NIA will allow for the availability of a considerable volume of substantive input to project activities that will cover a wide array of topics related to digital transformation and digital governance. Considerable volume of substantive input is also expected from the Digital Governance Division of the OECD, and the GOVTECH team of the World Bank on digital governance mechanisms through the existing substantive collaboration arrangements of the ACSH with them. The project will also partner with relevant institutions in the participating countries, which will provide a stream of information and knowledge on their digital transformation initiatives, lessons learnt, and challenges faced.

Risks and Assumptions

Risks involved in the project implementation are mainly concerned with the organisation of series of workshops on aspects of the digital transformation process, with respect to their relevance, impact, and timeliness. In this connection, it is assumed that the UNDP and the ACSH will pay particular attention for ensuring that topics are relevant and will organise events that have maximum impact on the level and quality of knowledge and experience exchanged with and transferred to the project participants. The UNDP and the ACSH possess the necessary experience and expertise at both the substantive and operational levels to meet the needs of the project and achieve its expected results in a timely manner, while making optimal use of available resources.

There is also a risk related to fluctuations in the USD exchange rate vis-à-vis the donor country currency, the WON. It is plausible that the project will receive a smaller amount than expected in USD, depending on the exchange rate that is applicable on the transfer of funds date. To mitigate this risk, the project team will monitor the exchange rate between the USD and the Korean WON, and in cooperation with the donor, determine the time of disbursement of funds allowing for getting the most favourable exchange rate. The project team will also be flexible in re-allocating funds across activities in cases where lesser than expected funds are received during the project implementation timeline.

Stakeholder Engagement

Key stakeholders of the project are the twelve participating countries that are keen to exchange knowledge and information on digital transformation and digital governance and learn from each other and from the Republic of Korea. As topics to be covered during project implementation are determined by the demand of the participating countries, i.e., suggested by the majority of its beneficiaries, it is assumed that their active engagements is ensured. Other potentially affected groups are the citizens of the participating countries, who stand to benefit from any improvements taking place in the digital governance realm.

South-South and Triangular Cooperation (SSC/TrC)

The project is a perfect example of the triangular cooperation modality. The twelve countries on one hand and on the other the Republic of Korea sharing knowledge, disseminating information, convey experience, and learning from each other on how to advance their digital transformation policies and practices.

Digital Solutions

Digital approaches are embedded within the project’s expected results. Its core objective and its components focus on digitalisation, digital transformation, and digital governance. Thus, it is expected that the project outputs and activities will enable and facilitate the path to digital transformation.

Digital approaches are also employed for the dissemination of knowledge among the ACSH participating countries, knowledge generated through its capacity building and research activities on aspects of digital transformation processes, such as legal and regulatory frameworks adapted to the new reality or government

⁸ UNDP uses its global access to a large network of country offices and world-level technical expertise to study and test best international practices for relevant areas of the project scope.

capacity to fully utilise digital technologies in operations, policy making and public service delivery to mention a few.

Knowledge

The project will rely upon the ACSH Research and Knowledge Management team for the preparation and publication of two knowledge products during its implementation timeline. Knowledge products may come in various forms and formats, i.e., case studies, thematic research papers, comparative analyses, methodological guides, etc. All published knowledge products will be made freely available on the ACSH web portal, the electronic gateway to accessing knowledge products it develops. Information about these knowledge products is also disseminated widely across the knowledge management framework of UNDP and those of the participating countries.

Sustainability and Scaling Up

Sustainability of the project's outcomes may be ensured beyond its completion by engaging the ACSH P2P Learning Alliances on innovation and digital transformation, on public services, and on e-government. The relevant institutions of the participating countries of this project will be encouraged to engage with these three P2P Alliances, and any others that may be created in the near future, to sustain the transfer of knowledge and experience on digital transformation and digital governance. It is also assumed that the partnership with MOIS and NIA will continue into the future, resulting to further knowledge and information exchanged among the participating countries and the Republic of Korea.

IV. PROJECT MANAGEMENT***Cost Efficiency and Effectiveness***

The project implementation mechanism has been conceived and designed in such a way as to deliver the maximum possible results against the available financial resources throughout the duration of the project. All activities are designed for implementation considering the most efficient use of available financial resources.

Project Management

UNDP Kazakhstan implements the project under the Direct Implementation Modality (DIM) thus it is responsible and accountable for managing the project, including the monitoring and evaluation of project outputs and the effective and efficient use of its financial resources. The UNDP Country Office provides full programmatic oversight and operational support to the project implementation in accordance with UNDP Rules, Regulations, Policies, and Procedures. The day-to-day management of the project will be the responsibility of the UNDP/ACSH Project Team out of its offices in Astana, Kazakhstan, in close collaboration with the MOIS.

Ownership of equipment, supplies and other properties financed by the project shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP and the provisions of donor agreement.

United Nations Development Programme in Kazakhstan.

Project Document for "Capacity Development of Public Servants in Advancing Digital Transformation and Digital Governance".

V. RESULTS FRAMEWORK**Intended Outcome as stated in the UNSDCF/Country [or Regional] Programme Results and Resource Framework:**

By 2025, state institutions at all levels effectively design and implement gender-responsive, human rights- and evidence-based public policies and practices in an inclusive, transparent, and accountable manner (2.2).

Proportion of digitalized public services (link to 16.6.2):

Baseline: 74% (2019) Target: 98% (2025)

Applicable Output(s) from the UNDP Strategic Plan: 2.3 Responsive governance systems and local governance strengthened for socio economic opportunity, inclusive basic service delivery, community security, and peacebuilding

Project title and Quantum Project Number: Capacity Development of Public Servants for Advancing Digital Transformation and Digital Governance / 01002236

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS
			Value	Year	Year 2024	Year 2025	Year 2026	FINAL	
Output 1 <i>Capacity development of high- and mid-ranking officials involved with digital transformation policies and processes and digital governance policy formulation and implementation from relevant government organisations, think tanks, etc.</i>	1.1 Inter-regional conference completed, and activities are prioritised for the duration of the project	Event report Conference presentations	1	2023	1			2	Results of discussion among participants, expected to agree consensually on priority areas
	1.2 Number of mid- and high-ranking officials attending the inter-regional conference to discuss their capacity development needs and wants	LoP	50	2023	50			100	Travel authorisations, boarding passes, etc
	1.3 Number of workshops implemented on digital transformation aspects and on digital governance related topics	Event reports Workshop presentations	9	2023	1	2	2	14	Procurement records for events' organisation, etc
	1.4 Number of mid- and high-ranking officials attending workshops on digital transformation and/or digital governance disaggregated by gender	LoP	308	2023	125 40% women	170 40% women	170 40% women	773 40% women	Travel authorisations, boarding passes, etc
	1.5 Number of Knowledge products prepared and published on topics	Publication records	2	2023		1	1	4	Search engines, ACSH and UNDP portals

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EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS
			Value	Year	Year 2024	Year 2025	Year 2026	FINAL	
	related to digital transformation and/or digital governance								
Output 2 <i>High- and mid-ranking officials involved with digital transformation policies and processes and digital governance policy formulation and implementation from relevant government organisations are exposed to digital transformation practices through study visits to the Republic of Korea.</i>	2.1 Study visits to Korea organised for a select group of high- and mid-ranking officials involved with digital transformation and digital governance	LoP	2	2023	1	1	1	5	Procurement records
	2.2 Number of mid- and high-ranking officials participating in the study visit	LoP	39	2023	24	24	24	111	Travel authorisations, boarding passes, etc

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VI. MONITORING AND EVALUATION**Monitoring Plan**

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly	Closely liaise with participating countries to assess the relevance of activities and the extent to which they match their needs and expectations	Project Board Project Team	TBD
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by the project management team and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	Project Board Project Team	TBD
Learn	Knowledge, good practices, and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	As knowledge is generated it is made available to all participating countries and beyond	Relevant lessons are captured by the project team and disseminated to participating countries and used to inform management decisions.	Project Team	TBD
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Bi-Annually	Areas of strength and weakness reviewed by project management and used to inform decisions to improve project performance.	UNDP Monitoring and Evaluation Team	TBD
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons, and output quality is discussed by the project board and used to make course corrections, if needed.	Project Board	TBD
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture	At least annually	Any quality concerns or slower than expected implementation progress is discussed among the partners and actions are agreed to mitigate adverse situations.	Project Board	TBD

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Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
	lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.				
Project Progress Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)	Consideration and approval of project progress reports, followed by recommendations, if needed.	Project Board	TBD

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VII. MULTI-YEAR WORK PLAN

Project: 01002236, Capacity Building of Public Servants for Advancing Digital Transformation and Digital Governance (2024-2026, 1,426,116.38 million)

EXPECTED OUTPUTS	PLANNED ACTIVITIES	2024	2025	2026	Total	RESPONSIBLE PARTY	Funding Source	PLANNED BUDGET (USD)				
								Budget Description	2024	2025	2026	Total
1: Capacity building of high-ranking officials involved in innovation and digital policy formulation and implementation from relevant line and sectoral ministries, government departments and agencies, and other government organisations at the central, regional, and local level.	1.1 Inter-regional conference to consider the results and findings of the needs assessment study and to determine the content, scope and expected results of the capacity building activities, as well as the study visits to Korea.	120,293.59	0	0	120,293.59	UNDP/ ACSH/ MOIS	MOIS	71200 International Consultants	5,000.00	0.00	0.00	5,000.00
								71300 Local Consultants	5,000.00	0.00	0.00	5,000.00
								71600 Transport expenses	40,000.00	0.00	0.00	40,000.00
								72100 Contractual Services	35,000.00	0.00	0.00	35,000.00
								74200 Audio Visual and Print	8,000.00	0.00	0.00	8,000.00
								74500 Miscellaneous	2,293.59	0.00	0.00	2,293.59
								71500 UN Volunteers, allowances	5,000.00	0.00	0.00	5,000.00
								71400 Service Contracts Individuals	20,000.00	0.00	0.00	20,000.00
								Total activity 1.1	120,293.59	0.00	0.00	120,293.59
	1.2 Inter-regional capacity development workshops to elaborate and discuss issues related to digital transformation and digital governance (One event in the first year, and two events for each of the next two years.	179,000.00	270,000.00	270,000.00	719,000.00	UNDP / ACSH / MOIS	MOIS	71200 International Consultants	15,000.00	15,000.00	15,000.00	45,000.00
								71300 Local Consultants	15,000.00	15,000.00	15,000.00	45,000.00
								71600 Transport expenses	39,795.00	45,000.00	45,000.00	129,795.00
								72100 Contractual Services	60,000.00	90,000.00	90,000.00	240,000.00
								74200 Audio Visual and Print	12,000.00	30,000.00	30,000.00	72,000.00
								74500 Miscellaneous	5,205.00	5,000.00	5,000.00	15,205.00

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								71500 UN Volunteers, allowances	5,000.00	10,000.00	10,000.00	25,000.00
								71400 Service Contracts Individuals	27,000.00	60,000.00	60,000.00	147,000.00
								Total activity 1.2	179,000.00	270,000.00	270,000.00	719,000.00
	1.3 Joint research / case studies preparation and publication as knowledge products to sustain capacity building activities focusing on digital transformation and/or digital governance (One publication in the second and one in the third year).	0.00	23,362.67	23,362.67	46,725.34	UNDP / ACSH / MOIS	MOIS	71200 International Consultants	0.00	5,000.00	5,000.00	10,000.00
								71300 Local Consultants	0.00	500.00	500.00	1,000.00
								72100 Contractual Services	0.00	4,000.00	4,000.00	8,000.00
								74200 Audio Visual and Print	0.00	3,000.00	3,000.00	6,000.00
								74500 Miscellaneous	0.00	862.67	862.67	1,725.34.00
								71400 Service Contracts Individuals	0.00	10,000.00	10,000.00	20,000.00
								Total activity 1.3	0.00	23,362.67	23,362.67	46,725.34
Output 1 activities total		299,293.59	293,362.67	293,362.67	886,018.93			Sub-total output 1	299,293.59	293,362.67	293,362.67	886,018.93
UNDP General Management Support (GMS 8%) services		23,943.49	23,469.01	23,469.01	70,881.51		MOIS	75100 GMS	23,943.49	23,469.01	23,469.01	70,881.51
UN Coordination levy		3,232.37	3,168.32	3,168.32	9,569.00		MOIS	UN Levy	3,232.37	3,168.32	3,168.32	9,569.00
Output 1 total		326,469.44	320,000.00	320,000.00	966,469.44			Output 1 total	326,469.44	320,000.00	320,000.00	966,469.44
2. High- and mid-ranking officials involved with digital transformation policies and processes and policy formulation and implementation are exposed to digital transformation practices through study visits to the Republic of Korea.	2.1 Study visits to Korea organised for a select group of high- and mid-ranking officials involved in digital transformation and digital governance policy formulation and implementation from relevant government organisations and agencies	100,843.42	100,843.42	100,843.42	302,530.26	UNDP / ACSH / MOIS	MOIS	71600 Transport expenses	45,000.00	45,000.00	45,000.00	135,000.00
								72100 Contractual Services	15,000.00	15,000.00	15,000.00	45,000.00
								74200 Audio Visual and Print	8,000.00	8,000.00	8,000.00	24,000.00
								74500 Miscellaneous	2,843.42	2,843.42	2,843.42	8,530.26
								71500 UN Volunteers, allowances	5,000.00	5,000.00	5,000.00	15,000.00
								71400 Service Contracts Individuals	25,000.00	25,000.00	25,000.00	75,000.00
								Total activity 2.1	100,843.42	100,843.42	100,843.42	302,530.26

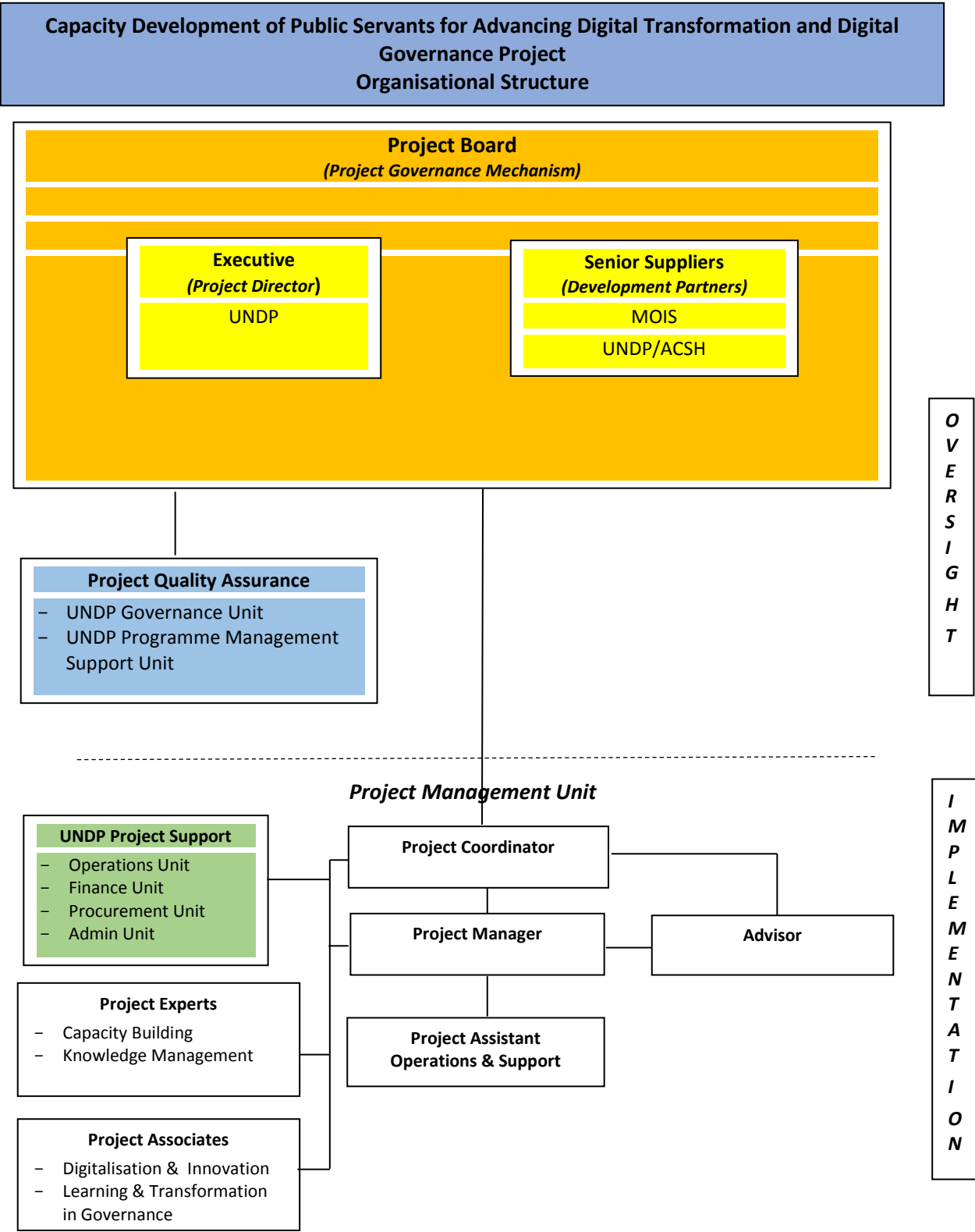
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Output 2 activities total		100,843.42	100,843.42	100,843.42	302,530.26			Sub-total output 2	100,843.42	100,843.42	100,843.42	302,530.26
<i>UNDP General Management Support (GMS 8%) services</i>		8,067.47	8,067.47	8,067.47	24,202.42			75100 GMS	8,067.47	8,067.47	8,067.47	24,202.41
<i>UN Coordination levy 1%</i>		1,089.11	1,089.11	1,089.11	3,267.33			UN Levy	1,089.11	1,089.11	1,089.11	3,267.33
Output 2 total		110,000.00	110,000.00	110,000.00	330,000.00			Output 2 total	110,000.00	110,000.00	110,000.00	330,000.00
3: Project Management	Project Coordination	12,000.00	12,000.00	12,000.00	36,000.00	UNDP / ACSH	UNDP	71400 Service Contracts Individuals	12,000.00	12,000.000	12,000.00	36,000.00
	Administration	8,000.00	8,000.00	8,000.00	24,000.00			74596 DPC Operations	8,000.00	8,000.00	8,000.00	24,000.00
	Quality Assurance & Monitoring	9,000.00	9,000.00	9,000.00	27,000.00			64397 DPC Programme	9,000.00	9,000.00	9,000.00	27,000.00
	Travel costs for UNDP-sponsored participants in project's activities	13,400.00	13,800.00	5,843.52	33,043.52			71600 Transport expenses	13,400.00	13,800.00	5,843.52	33,043.52
Output 3 activities total		42,400.00	42,800.00	34,843.52	120,043.52			Sub-total output 3	42,400.00	42,800.00	34,843.52	120,043.52
<i>UNDP General Management Support (GMS 8%) services</i>		3,392.00	3,424.00	2,787.48	9,603.48			75100 GMS	3,392.00	3,424.00	2,787.48	9,603.48
Output 3 total (UNDP contribution)		45,792.00	46,224.00	37,631.00	129,647.00			Output 3 total	45,792.00	46,224.00	37,631.00	129,647.00
Grand Total		482,261.44	476,224.00	467,631.00	1,426,116.38			Grand total	482,281.45	476,224.00	467,631.00	1,426,116.38

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The governance mechanism of the project is the Project Board (PB), consisting of UNDP Kazakhstan – represented by the Astana Civil Service Hub management – and the Ministry of the Interior and Safety of the Republic of Korea.



The Project Board ensures the effective strategic oversight of the project, and it provides overall direction on accomplishing its mandate. The PB also cultivates cooperation among the participating countries in furthering their public administration transformation and civil service advancement. The

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PB convenes regularly – at least once per year – to discuss expected outputs and outcomes, assess progress made and results achieved, and provide recommendations, if needed.

To ensure accountability, the PB decisions adhere to the UNDP corporate policies and standards, for ensuring best value for money, fairness, transparency, and effective competition. In cases, where a consensus cannot be reached, the final decision rests with the UNDP Kazakhstan Resident Representative.

The Project is implemented by the Project Team, headed by the Project Coordinator – the Chairperson of the ACSH Project Board. The Project Team also includes the Project Manager, and the Advisor, complemented by two Project Experts on capacity building and knowledge management, and by two Project Associates on digitalisation and innovation, and learning and transformation in governance. The Project Team is also complemented by UNDP and Project Assistants on organisational, administrative, procurement, and financial matters. The Project operations are carried out in conformity with the established UNDP policies, rules, and regulations.

As the project is considered important in advancing digital transformation practices, and digitalisation of public services in the participating countries, the UNDP will ensure that the best available professional expertise is engaged to produce the appropriate level of substantive work required by the project in achieving its expected results. Should the project activities require additional expertise from outside UNDP, other experts, public and private institutions, and organisations are invited to implement specific tasks, e.g., formulate methodologies, plans on preparedness and responsiveness, study reports, etc, as sub-contractors or as *bona fide* experts.

External expertise may also be invited to carry out monitoring and assessment activities, trainings, and provision of specialised knowledge. Such expertise will be selected on a competitive basis to conduct time-bound work on select topics of interest and priority.

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IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of the Republic of Kazakhstan and UNDP, signed on 4 October 1994. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP Kazakhstan ("Implementing Partner") in accordance with its financial regulations, rules, practices, and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP.

X. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures, and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism, that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies, and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:
 - a. Consistent with the Article III of the SBAA, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible parties, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor, and sub-recipient. To this end, each responsible party, subcontractor, and sub-recipient shall:
 - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - ii. assume all risks and liabilities related to such responsible parties, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
 - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible parties, subcontractors, and sub-recipient's obligations under this Project Document.
 - c. Each responsible party, subcontractor, and sub-recipient (each a "sub-party" and together "sub-parties") acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

- (a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
- (b) Moreover, and without limitation to the application of other regulations, rules, policies, and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment, or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.
- d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities) and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:
- (i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
 - (ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;
 - (iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;
 - (iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
 - (v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
- e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
- f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.
- g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption, or other financial irregularities, by its officials, consultants, subcontractors, and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption, anti-fraud and anti-money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
- h. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor, and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. Each

responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

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

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

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

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

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

XI. ANNEXES**1. Situation analysis of the digital transformation process in the participating countries****CAUCASUS REGION****Armenia:**

It has adopted the “Strategy for Digitalisation 2021-2025” and the “2021-2026 Action Plan”, effectively making digitalisation initiatives an integral part of its medium- and long-term strategy policy priorities. The Strategy envisages digital transformation of the Government, the economy and the society through introduction and development of innovative technologies, cyber security, data policy, and e-services and e-government systems, coordination of digitalisation processes, creation of common standards and digital environment, as well as initiatives promoting the use of digital technologies in the private sector of the economy and the development and implementation of programmes promoting the use of electronic tools by the public.

Armenia’s digitalisation strategy aims at ensuring high quality of public service delivery, efficiency and transparency of the public administration system, development of broadband and telecommunication infrastructure, increase of competitiveness of the private sector, and development of digital skills workforce. In this context, several initiatives are underway, which are congruent with the Strategy’s priorities, i.e., a system of e-documents verification, the creation of a unified platform for the delivery of digital services, the upgrade of the e-health care system, and the enhancement of the digital identification system by including biometric data.

Azerbaijan:

All national strategic policy documents published in the past five years address digitalisation as one of the country’s priority policy objectives. Nowadays, the “National Economy Development Strategy Roadmap” and the “Azerbaijan 2030 Socio-Economic Priorities” document state that digital transformation and the enhancement of citizens’ digital literacy is a priority.

The newly established (2021) Ministry of Digital Development and Transportation is currently developing a digital transformation strategy that should soon be ready for implementation. And, the Innovation and Digital Development Agency, also established in 2021, under the Ministry provides the organisation, coordination, and implementation – including monitoring and regulation – of activities in the field of building digital government and digital society in the country.

Furthermore, a major priority of the Government is to complete complex infrastructure projects such as the expansion of internet access and the establishment of data exchange systems, as it is fully aware that adequate infrastructure is vital for rapid digital transformation.

The “Roadmap” proposes actions to leverage a common public administration data centre using a government cloud – g-cloud – to reduce duplication and to increase efficiency for maintaining ICT infrastructure. Similarly, a government-wide network can expand can further expand public e-services to rural and remote areas, where various public institutions could share broadband internet capacity.

Georgia:

The “2015 Public Administration Reform Strategy” encompasses a pillar on service delivery, which includes the e-Georgia policy on digitalisation. Furthermore, the “Georgia 2020” development strategy, aimed at the development of electronic services and expansion of e-governance system, improving access to public services, as well as reducing the potential amount spent during administrative procedures. In addition, Georgia’s overall national strategy “Government Programme 2021-2024, Toward Building a European State” focuses primarily on enhancing the effectiveness of public governance by digitalising public institutions’ internal processes, as well as upgrading remote services, making the outcomes tangible for every citizen.

The “Digital Georgia Strategy”, currently under development includes the country’s medium-term policy priorities on digitalisation, i.e., strengthen the e-governance model and enhance digitalisation and service provision through differentiated channels of delivery.

CENTRAL ASIA REGION**Kazakhstan:**

It has adopted the national “Kazakhstan 2050 Strategy” that lays out the transition to digitalisation of government organisations, as well as the use of big data and artificial intelligence, and the digital transformation of the public administration system. The priority areas for digitalisation are outlined in the “National Plan for Technological breakthrough through digitalisation, innovation, and science” document, where issues of digitalisation are described in detail, covering not only public administration, but also education, human resource capacity development, etc. Furthermore, the National Plan also includes four directions for the development of science.

Overall, the National Plan contains ten directions, twenty-six tasks, 44 four indicators, and 211 activities. Similarly, the “Concept for the Development of the Information and Communication Technologies Industry in the Digital Sphere” outlines six areas for the digital transformation of the country.

Moreover, the State Programme “Digital Kazakhstan” is under way focusing on four key areas: (i) creating a “Digital Silk Road”, a reliable, affordable, high-speed, and secure digital infrastructure; (ii) developing a “Creative Society”, by enhancing competencies and skills for the digital economy, upgrading digital literacy and training ICT specialists for industry; (iii) digital transformation of the economy by introducing digital technologies to enhance the competitiveness of various economic sectors; and (iv) form a “Proactive Digital Government”, by improving electronic and mobile government systems and optimising public service delivery.

Kyrgyzstan:

It has adopted the “National Development Strategy 2040” that outlines the country’s overall commitment to digital transformation, as it defines certain goals, tasks, and activities for digitalisation. Furthermore, the “National Digital Transformation Strategy 2019-2026” lays out the tasks to be implemented for the digital transformation of the country. The priority areas for digitalisation are (i) development of an adequate digital infrastructure, i.e., achieving 100 per cent high-speed internet coverage for the entire population; (ii), introducing cloud-based solutions and a unified e-mail system, as well as developing the G-Net state-wide network; and (iii) building a centralised data centre meeting international standard.

Tajikistan:

It has adopted the “Concept of Electronic Government 2012-2020”, the “State Strategy of Information and Communication Technologies for the development of the Republic of Tajikistan”, and the “Concept of the Digital Economy”. Adoption of these documents provides a common vision for the digital transformation of the country based on international models for developing a digital economy and society, and they have effectively accelerated the process of digitalisation, as they lay out the actions needed for digital transformation.

For instance, they have initiated activities towards the delivery of public services in electronic format, i.e., electronic signature, electronic payments, while the process of the digital transformation of public service delivery is on-going. They have also initiated activities for the strengthening of the digital infrastructure, such as the creation of a model digital network and the provision of ubiquitous broadband access, the development of a modern telecommunications system, and the creation of data centres and digital platforms.

Uzbekistan:

In order to accelerate the process of digitalisation of the economy introduced a number of regulatory documents aimed at a deep transformation of the economy, industry, and society through digital technologies. The “Digital Uzbekistan 2030 Strategy” in 2020 delineating the country’s vision for digital transformation. An integral goal of the Strategy is the development of the “Electronic Government” system that would allow for the provision of all public service electronically. Other documents are the

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“Strategy of Action on the Five Priority Areas of the Republic of Uzbekistan for 2017-2021” and the “New Development Strategy of Uzbekistan for 2022-2026”.

Implementation of measures provided for in these regulatory documents have yielded noteworthy results. Currently, there are approximately 1,600 digitalisation transformation projects under implementation, of which approximately 60 per cent have been completed. Telecommunications infrastructure is developing rapidly both in terms of fibre-optic and fifth generation mobile internet. Broadband Internet access has been expanded, mobile payments and e-commerce solutions have been provided. In addition, efforts were made to reduce bureaucratic barriers and encourage investment in startups, as well as to improve the skills of specialists. Furthermore, the Unified Portal of Interactive Services – my.gov.uz – provides more than 370 types of services on-line, and a mobile application developed provides 165 e-government services.

However, further development of digitalization requires the introduction of advanced information technologies in many sectors of the economy, further expansion of digital infrastructure and development of the national market of digital technologies and services, as well as improvement of legislation for IT business in accordance with international standards.

ASIA AND THE PACIFIC REGION

Bangladesh:

The Government recognises the need for leveraging information and communication technologies (ICT) to achieve its Vision 2041. Furthermore, the Government is taking significant actions under its e-Government Master Plan for Digital Bangladesh to create a knowledge economy by emphasising digital government for pro-poor service delivery, ICT in business, connecting citizens, and effective human resource development. The Digital Bangladesh initiative includes: (i) developing human resources for the 21st Century; (ii) connecting citizens in ways most meaningful to them; (iii) taking services to citizens’ doorsteps; and (iv) making the private sector and market more productive and competitive using digital technology.

The Government of Bangladesh envisions that digitalisation and service transformation will accelerate based on the progress already made in connectivity, institution building, piloting, and policy formulation. Thus, it will continue transferring major public services, delivered by both the public and private sectors, over digital platforms resulting in declining transaction costs. The goal is that services having the potential to benefit from information and communication technologies are to be transformed as e-services.

The Ministry for Information and Communication Technology is the government entity for coordination of digital transformation. A significant digitalisation programme is the Access to Information Programme (a2i), firstly under the Prime Minister’s Office, and now run by the Information and Communication Technology Division as part of the endeavour to realise Digital Bangladesh. The a2i participates in multiple digital services development projects as it finds and even plans projects to innovate public services of all ministries and agencies. Its activities span across five areas: e-Governance, Innovation Lab, Innovation Culture, Data 2 Policy, and South-South Cooperation.

Cambodia:

The Royal Government of Cambodia has adopted the “Cambodia Digital Government Policy 2022-2035” aimed at building a smart government based on the use of digital infrastructure and technology as an ecosystem for governance system modernisation and reform in a transparent and credible manner to develop an inclusive digital economy and society. It proposes ten strategies to accomplish its vision. It has also adopted the “Cambodia Digital Economy and Society Policy Framework 2021-2035” to ensure a digital ecosystem that is strong and resilient to various crises, and timely responses to the development of digital technology.

The Government promotes and accelerates the use of digital technology as a catalyst for development, ensuring good governance and better public service delivery. Digital government is considered a driver for new growth by increasing state revenue and reducing time, duplicate work, public spending, and environmental impact, as well as facilitating administrative workflows and the exchange of data among

ministries and other government institutions. Furthermore, the use of digital technology requires redesigning workflows and streamlining management, division, processing, and monitoring work in a transparent, accountable, and equitable manner.

The Digital Government Committee is the overall coordinating body for digital transformation in the country. It is responsible for setting up the mechanisms to monitor and evaluate the implementation of priority actions to ensure the effective use of funds for the development of digital government. It is also responsible for the mobilising human capital and finance. The Ministry of Post and Telecommunications is the government entity responsible for leading and coordinating ministries and government institutions at the national level and sub-national administrations in the digital transformation process. This includes the development of guidelines, action plans, and promotion of implementation, monitoring, and evaluation in order to ensure effectiveness, interoperability, and security of the entire digital information system of the Royal Government.

Lao PDR:

The Government has articulated a vision for digital transformation. Such vision is explicitly expressed in several documents, i.e., the “National Digital Economy Development Vision 2021-2040”,⁹ the “National Digital Economic Development Strategy 2021-2030”, and the “National Economic Development Plan 2021-2025”. Based on these documents, the National Committee on Digital Transformation of Lao, under the Chairmanship of the Prime Minister has defined the priorities of the country with respect to digitalisation: as an important revolutionary mission to industrialise and modernise the country according to the guidance of the Party and to advance the long-term socio-economic development, which to be carried out to satisfy three interrelated aspects; building a digital economy, a digital society, and a digital government.

To accelerate digital adoption and transform government processes, a number of e-government applications and platforms have been developed at all levels of administration.¹⁰ Furthermore, the country’s government has adopted laws and regulations to support the digital economy and is investing in data centres and cloud infrastructure.

The first-generation legal framework developed for digitalisation comprises the Law on e-Transactions enacted in 2012 that grants legal equivalence between paper-based and electronic communications, contracts, signatures, and records;¹¹ the Law on Electronic Signatures (2018); the Law on Electronic Data Protection (2017) and the Guideline on the implementation of the Law (2018), which covers general and specific data - although it does not specify personal data that would warrant additional safeguards;¹² and, the Law on Prevention and Combating Cyber Crime (2015) that provides the

⁹ This document defines digital transformation as one of seven pillars of the national agenda and foresees the digital economy growing from three percent to ten percent of GDP by 2040. It addresses several key policy areas: (i) Digital Government Plan; (ii) Digital Payment System Plan; (iii) Human Resource Digital Development Plan; (iv) MSME business promotion and startup development plan; and (v) Digital Security Plan. However, this document omits a government-wide public administration modernisation strategy to digitise and optimise government business processes and services. For instance, information systems have often only automated analogue business processes and have not managed to eliminate the paper-based workflows that still dominate public administration.

¹⁰ During the pandemic, the government introduced the LaoKYC (*Lao Susu*) application to manage digital vaccination certificates and passports. The *Khang Pany Lao* digital education platform enabled the government to minimise learning disruption for 90,000 primary and pre-primary students.

¹¹ It takes a layered approach to the digital authentication of parties to a transaction by acknowledging the validity of both basic and secure electronic signatures and is broadly consistent with the UNCITRAL Model Laws on E-Commerce and E-Signature.

¹² While the Law includes several of the rights and obligations that are typically included in a good practice data protection law, such as rights to access, rectification and erasure of data, obligations to protect and secure the data and prevent access of the data by unauthorized third parties, there are several divergences from international good practice. For example, it is the responsibility of the “data owner” (data subject) to ensure the accuracy, transparency and completeness of the electronic data that has been provided to the data manager and report on illegal activities, whereas these are typically obligations for the data processor/manager. Similarly, the obligation to notify of a breach is usually towards the data owner/subject, whereas here the notification appears to be to the Ministry.

framework for cybersecurity policy by criminalising unauthorised activities targeting ICT and software, and access and mis-use of data systems.

The Ministry of Technology and Communication (MTC) leads the country’s digital transformation process, and it prioritises and deepens actions outlined in the Digital Economic Development Strategy 2021-2030 and in the Economic Development Plan 2021-2025. The Ministry was created in October 2021 by merging the Ministry of Science and Technology (MST) and the Ministry of Posts and Telecommunications (MPT). It is composed of fifteen departments and has oversight functions over key areas including connectivity, telecommunications, cybersecurity, digital government, and innovation.¹³

The Digital Government Centre – currently part of the MTC, started as an e-government project in 2006, with the goal of increasing the government’s effectiveness and service delivery through ICT. It has since evolved to offer several digital government services, including: (i) centralisation of government computing services; (ii) management and development of administration and service software; (iii) management and provision of services on centralisation of government information; and (iv) training and promotion of e-government. Furthermore, the Lao National Internet Centre (LANIC) – also under MTC – was established in 2010. It was originally founded as an internet exchange point (IXP), but it has evolved to take additional functions such as operating data centres, the government cloud, and managing the country code top-level domain (ccTLD “.la”).¹⁴

The country envisions to develop a strong policy and regulatory foundation, while it progressively digitalises government and public services. In other words, it plans to develop regulations that facilitate digital transactions and protect users of on-line services, and a strong institutional framework that helps in implementing the necessary reforms in a timely and effective manner. It also aspires to strengthen the digital skills of citizens, business, and government.¹⁵

In sum, the overall digital economy institutional set up demonstrates an acceptable level of development but is fragmented and uncoordinated operationally. MTC, line ministries and other organisations in the digital economy ecosystem report that are not always informed of each other’s plans and actions.¹⁶ Not all ministries and provinces have a clear vision for their digital transformation. Several digital transformation initiatives have been undertaken by central government – but implementation is slow, primarily due to limited availability of budgets and funding. There is frequent duplication, and actions are not aligned with the overall strategic approach. The recent consolidation of functions in the MTC for both planning and implementing the digital strategy provides a basis for strengthening its position as the central driver of digital transformation.

Conversely, digital skills need considerable improvement, as the public sector lacks digital maturity. A regional study of central and regional government organisation in late 2021 and early 2022 rated Lao

¹³ One of its departments is the recently consolidated into the Ministry “LaoCERT” – an entity established in 2012 charged with the responsibility for handling cybersecurity incidents. Efforts are underway to streamline functions that overlap between the two entities merged.

¹⁴ Also, as part of the digitalisation agenda, the Ministry of Industry and Commerce (MoIC) has embarked on implementing the Electronic Business Registration System (e-BRS) to eliminate the currently paper-based business registration process, and thus modernise and enhance the business registration services. Its objective is to develop an on-line, end-to-end integrated electronic business registration system that offers fast, efficient, and convenient business registration processes while providing comprehensive information about registration procedures. The system aims to support local, as well as international business-related services and improve the country’s ease of doing business environment (World Bank. 2022. “Positioning the Lao PDR for a digital future: Priority measures to accelerate digital economy development”).

¹⁵ The government has started to modernize outdated laws; new laws such as the Law on Electronic Data Protection (2017) and Law on Digital Signature (2018) reflect the growth of digital services. The government has also committed to the ASEAN Work Programme on Electronic Commerce (AWPEC) 2017-2025, which will facilitate cross-border e-commerce in the region and connect Laos to larger markets.

¹⁶ Line ministries design and implement ad hoc services with little to no interoperability. The services are usually accessed through the website of the ministry, and there is no citizens’ portal where users can access all government services. There is also no central catalogue of government services that includes information such as brief description of each, fulfilment requirements, concerned government entities, associated forms to fill in, duration for completion, and associated fees. Moreover, there are no technical standards that lay out how government services should be built and operated.

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PDR countrywide maturity level with an average score of 1.7 on a scale 1-5 – whereas 1 is “digitally nascent” and 5 “innovative”. Skills and capacity building pillar scored the lowest among six pillars.¹⁷ To strengthen digital skills in the public sector, MTC conducts regular ICT training, seminars, and learning sessions for government staff. In addition, MTC operates an ICT training institute and has recently partnered with a private company to rebuild the Institute of Information and Communication Technology (IICT).¹⁸

Mongolia:

It has developed and adopted a digital strategy with six objectives: (i) digital infrastructure; (ii) e-governance; (iii) cybersecurity; (iv) digital literacy and inclusion; (v) innovation and production; and (vi) national development accelerator. This is in line with the 2020 five-year plan to build a “digital nation”, harnessing data and technology to facilitate innovation, streamline public services and diversify the country’s mining-reliant economy.

Since the plan was launched in 2020, the e-Mongolia platform has connected 656 services from 61 government agencies. However, digitalisation and electronic data exchange by the agencies are affected by outdated and duplicated licensing services, inadequate technical capacities, varying standards, and uneven levels of readiness. Furthermore, existing services on the e-Mongolia platform need to be aligned with recent developments.

From the human capacity aspect, some considerable work is still needed for civil servants to understand and appreciate the benefits of digitalisation and thus improve their skills to adapt to digitalisation. Moreover, the legal framework needs to be adapted faster to address challenges brought by digitalisation and innovative business models.

The government entity responsible for digitalisation is the Ministry of Digital Development and Communications (MDDC), established in 2022 to implement projects and programmes involving information and communication technology (ICT). It is also mandated to coordinate the ICT initiatives of other ministries and agencies to ensure the links and interoperability needed for a whole-of-government approach.

Philippines:

With an increased focus on making government services more efficient, the Government of the Philippines is accelerating digital transformation. Accordingly, the Philippines Presidential Administration has identified programme and policies that emphasise digitalising, harmonising, and standardising government data. Furthermore, the Anti-Red Tape Authority, in collaboration with other government agencies, pursues a National Policy on Regulatory Management System (NPRMS), which provides a common framework for good regulatory practice and enforcement and compliance strategies. The Anti-Red Tape Authority is also encouraged to provide a live database and map all government services outlined in the Citizen’s Charter through the Anti-Red Tape Electronic Management Information System (ARTEMIS). The government also plans to optimise its information and communication technology resources by developing and implementing interoperable systems that will allow for the seamless sharing of data sources, such as the Philippines Identification System and the Electronic Permits and Licensing Service.

¹⁷ United Nations Development Programme. 2021a. Digital Government Transformation Project (RFF) Project. Digital Maturity Assessment Introduction. <https://www.la.undp.org/content/Lao>

¹⁸ In 2022, MTC signed an agreement with China Railway Construction Group Co., Ltd to construct a new building for the ICT training institute. The building will be equipped with the necessary teaching and learning materials, laboratory equipment and examination facilities. The new training facility is expected to be completed in late 2023 and aims to strengthen the digital capacities of the public sector employees.

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2. Project Quality Assurance Report

1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?

☐ 3: The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.

☒ 2: The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.

☐ 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The theory of change assumes that achieving inclusive growth requires the participation of human capital that is empowered with knowledge and skills to contribute to inclusive growth among other. This project aims at further developing the capacities of public servants at different levels of government by transferring knowledge and experience enabling them to implement initiatives that will advance digital transformation and digital governance in their countries. It is expected that such knowledge and experience sharing will assist the participating countries to further develop policies initiatives that will allow them to establish data-driven public sectors for evidence-based policy making and implementation, and to introduce digital open governments that are proactive and user-driven resulting to efficient and effective public service provision and an increase of trust in government. Ultimately, utilising digitalisation for shaping public governance outcomes will be beneficial for their citizens.

2. Is the project aligned with the UNDP Strategic Plan?

☐ 3: The project responds to at least one of the development settings as specified in the Strategic Plan and adapts at least one Signature Solution. The project's RRF includes all the relevant SP output indicators. (all must be true)

☒ 2: The project responds to at least one of the development settings as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true)

☐ 1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project contributes to UNDP Strategic Plan Outcome 1: Structural transformation accelerated, particularly green, inclusive, and digital transitions. It aspires to contribute towards the goal for state institutions at all levels effectively design and implement gender-responsive, human rights- and evidence-based policies, and provide quality public services in an inclusive, transparent, and accountable manner improving the quality of life for the citizens of the participating countries; in congruence with UNSDCF Outcome 2.2. Additionally, the expected results of the proposed project are aligned with the objectives of the UNDP Digital Strategy 2022-2025, which constitutes one of three enablers in UNDP's 2022-2025 Strategic Plan.

3. Is the project linked to the programme outputs? (i.e., UNSDCF/CPD, RPD or Strategic Plan IRRF for strategic interventions not part of a programme)

☒ YES

☐ NO

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

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The project is linked to the goal for state institutions at all levels effectively design and implement gender-sensitive, human rights and evidence-based public policies and provide quality services in an inclusive, transparent, and accountable manner (UNSDCF Outcome 2.2). It is also linked to the CPD outputs 2.2 (institutions and systems enabled to develop and implement institutional reforms towards more effective, transparent, and inclusive governance and service provision at the national and local levels); and 2.4 (triangular development initiatives are in place to support the positioning of Kazakhstan, with a focus on empowerment of women).

4. Does the project identify target groups, and particularly those marginalized, vulnerable and left further behind (LNOB)

☐ 3: The LNOB target groups are clearly specified, prioritising discriminated, and marginalized groups left furthest behind, identified through a rigorous process based on evidence.

☒ 2: The LNOB target groups are clearly specified, prioritizing groups left furthest behind.

☐ 1: The LNOB target groups are not clearly specified.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The primary target group of this project are government officials and executives of central and local government departments and agencies and employees of state institutions and organisations that are responsible for digital transformation and digital governance related policies. Furthermore, policy makers and experts, who play a role in advancing the adaptation and implementation of reform and development initiatives in these areas. Ultimate beneficiaries of the project outcomes are the citizens of the participating countries including the most vulnerable ones, who will benefit through the digital transformation taking place in their countries.

5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?

☒ 3: Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.

☐ 2: The project design mentions knowledge and lessons learned backed by evidence/sources but have not been used to justify the approach selected.

☐ 1: There is little, or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

This project is a sequel to another capacity development project on the area of digitalisation and digital transformation and digital governance. Knowledge and lessons learnt have been taken into account in its the design and content. In essence, it delves further into areas that are important and critical for digital transformation.

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national / regional / global partners and other actors?

☒ 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (all must be true)

☐ 2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.

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☐ 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

UNDP has a clear advantage as it is a trusted long-term partner of governments in supporting national policy making, institutional capacity development and design and implementation of critical reforms, thanks to its convening role among partners and donors, strong global technical capabilities, and local practices. The long and successful UNDP track record facilitates governmental buy-in and commitment, promising to make the work of UNDP more sustainable, and less exposed to shifts in political priorities. UNDP is recognised by evaluations for its neutrality, discipline in utilization of government funding, effective procurement systems and transparent decision-making. It is acknowledged by its ability to mobilise cross-sectoral national and international expertise, forge strong partnerships with other development partners, bring new modalities of implementation and leverage financing. The project will capitalise on and utilise the capacity of the ASCH as a multilateral institutional knowledge and experience exchange platform to implement this project. In addition, the project is a good example of triangular cooperation modality as the Korean counterparts are eager to transfer knowledge and disseminate information and convey their experience on the topics of the project, for the benefit of its participating countries.

7. Does the project apply a human rights-based approach?

☐ 3: The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true)

☒ 2: The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination.

Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. (both must be true)

☐ 1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project focuses on strengthening the capacity of government personnel from the participating countries in achieving their human development goals. The project contributes to the establishment of modern, effective, and sustainable governance systems that meet society's expectations to responsive, accountable, and transparent public institutions in the participating countries, thus promoting a human rights-based approach to development.

8. Does the project use gender analysis in the project design?

☐ 3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. (all must be true)

☒ 2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. (all must be true)

☐ 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women, and men, but the gender inequalities have not been clearly identified and reflected in the project document.

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The project will ensure gender balance among the participants of its learning and training activities. Furthermore, gender aspects will be considered in all on-demand capacity building activities and research-related activities, and partnership events.

9. Did the project support the resilience and sustainability of societies and/or ecosystems?

☐ 3: Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic, and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true)

☒ 2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. (both must be true)

☐ 1: Sustainability and resilience dimensions and impacts were not adequately considered.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Sustainability is achieved by improving the quality of life of the population and modernizing the governance systems through introduction of digital governance and digital transformation. Sustainability of the initiative, beyond the duration of the project, will be ensured by the ACSH P2P Alliances on Innovation and Transformation, Public Service Delivery, and e-Governance and digitalisation, in congruence with their respective mandates. The ACSH P2P Alliances are envisioned to continuing functioning for some time ahead, thus contributing to further advancement in the areas of interest of this project.

10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of the preparation and dissemination of reports and communication materials; organization of events, workshops, or training; strengthening capacities of partners to participate in international negotiations and conferences; partnership coordination (including UN coordination) and management of networks; and global/regional projects with no country-level activities as well as Development Effectiveness projects and Institutional Effectiveness projects. [If yes, upload the completed checklist. If SESP is not required, Select all exemption criteria that apply.]

X YES

☐ NO

☐ SESP not required because project consists solely of (Select all exemption criteria that apply)

***Applicable only to option "SESP not required".**

☐ 1: Preparation and dissemination of reports, documents, and communication materials

☐ 2: Organization of an event, workshop, training

☐ 3: Strengthening capacities of partners to participate in international negotiations and conferences

☐ 4: Partnership coordination (including UN coordination) and management of networks

☐ 5: Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes)

☐ 6: UNDP acting as Administrative Agent

☐ 7: Development Effectiveness projects and Institutional Effectiveness projects

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

See SESP in annex 3 of the project document.

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11. Does the project have a strong results framework?

☐ 3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. (all must be true)

☒ 2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)

☐ 1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. (if any is true)

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

See Results Framework of this project document. The project outputs and activities are at an appropriate level, based on continuous research on advancement of digitalisation in the participating countries, and knowledge acquired over the past three years while implementing a very similar project on digitalisation – the first phase of the current project.

12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?

☐ 3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true)

☒ 2: The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)

☐ 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

See Project Board Terms of Reference in this project document. The project governance mechanism is well-defined, and representatives of key institutions are included in the governance structure of the project. Responsibilities of the Project Board members are clearly identified and defined. UNDP will chair the SC, which provides strategic guidance, coordination, and policy support to the project. The Board will also include representatives from the MOIS. Other members may be added, if needed, while the project implementation progresses.

13. Have the project risks been identified using the risk assessment tools (Project Quality Assurance, Social and Environmental Screening Procedure, Partner Capacity Assessment Tool, Harmonized Approach to Cash Transfer, Private Sector Due Diligence, etc., if applicable), with clear plans stated to manage and mitigate each risk?

☐ 3: Project risks related to the achievement of results are fully described in the project risk register, based on comprehensive analysis drawing on the programme's theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. (both must be true)

☒ 2: Project risks related to the achievement of results are identified in the initial project risk register based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.

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☐ 1: Some risks may be identified in the initial project risk register, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

See Risk Analysis Matrix included as Annex 4 in this project document. This risk log will be frequently revisited for potential revisions, if needed, throughout the implementation period.

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design?

☒ YES

☐ NO

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Yes, the project implementation mechanism has been conceived and designed in such a way as to deliver the maximum possible results against the available financial resources throughout the duration of the project. All activities are designed for implementation considering the most efficient use of available financial resources. The Project Team will be based in Astana, Kazakhstan and will implement the project under the Direct Implementation Modality. UNDP will be responsible and accountable for managing the project, including monitoring and evaluation of project outputs and the effective use of its financial resources. The UNDP CO will also provide full programmatic oversight and operations support in accordance with UNDP Rules, Regulations, Policies and Procedures.

15. Is the budget justified and supported with valid estimates?

☒ 3: The project's budget is at the activity level with funding sources and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications, and security have been incorporated.

☐ 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.

☐ 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

See MYWP included in this project document. The multi-year project budget is included at the activity level with funding sources specified clearly for the full duration of the project. All costs are based on realistic and valid estimates derived from prior experience.

16. Is the Country Office / Regional / Global Project fully recovering the costs involved with project implementation?

☒ 3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)

☐ 2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.

☐ 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

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Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project budget fully covers all project costs that are attributable to the project including costs incurred by the UNDP Country Office structures in providing General Management Support services and DPC for programme and operations.

17. Have targeted groups, and particularly those marginalized, vulnerable, and left further behind (LNOB), been engaged in the design of the project?

☐ 3: Credible evidence that all targeted groups, prioritising discriminated, vulnerable and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)

☒ 2: Some evidence that key targeted groups have been consulted in the design of the project.

☐ 1: No evidence of engagement with targeted groups during project design.

☒ Not Applicable

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Relevant government institutions from the participating countries were consulted during the project inception stage. Repeated surveys and group discussions facilitated the process of collecting and documenting the specific needs and priorities of the participating countries in the areas of digital governance and digital transformation.

18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation.

☒ YES

☐ NO

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Substantive activities of the project will be implemented following consultations with the participating countries at the start of the project implementation period. In fact, the first activity of the project is the inter-regional conference where participating countries will present their priorities and state their preferences on the substantive content of the capacity development activities to be implemented over the course of its duration.

19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

☒ YES

☐ NO

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project has been marked GEN2, as it considers gender aspects in all of its activities. Thus, satisfactory implementation of the project will also entail women's empowerment and achievement of gender equality.

20. Have societal digital risks and opportunities been taken into account when designing the project's approach and have digital or data technology solutions been considered to enhance the efficiency, effectiveness and scalability of project results?

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☐ 3: To the extent possible, societal digital risks and opportunities have been investigated when designing the strategy and Theory of Change, and the potential use of digital or data technologies in project activities has been considered in line with UNDP's digital standards and data principles. (All must be true)

☒ 2: Only the potential use of digital or data solutions in project activities has been considered in line with UNDP's digital standards and data principles, but there is no or limited evidence that aspects of inclusive digital societies have been considered in the design of the strategy or Theory of Change.

☐ 1: Neither societal digital risks and opportunities, nor digital or data technology solutions were specifically considered in the project design or, UNDP's digital standards and data principles are not taken into account when intending to use digital or data technology solutions in project activities.

☐ Digital considerations are not relevant to this project.

***Applicable only to option "Digital considerations are not relevant"**

☐ 1: Societal digital transformation is not a government or contextual priority

☐ 2: A non-digital approach yields higher effectiveness and efficiency

☒ 3: Other (specify in the "Evidence" section)

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Digital approaches are embedded within the project's expected results. Its core objective and its components focus on digitalisation, digital transformation, and digital governance. Thus, it is expected that the project outputs and activities will enable and facilitate the path to digital transformation.

Digital approaches are also employed for the dissemination of knowledge among the ACSH participating countries, knowledge generated through its capacity building and research activities on aspects of digital transformation processes, such as legal and regulatory frameworks adapted to the new reality or government capacity to fully utilise digital technologies in operations, policy making and public service delivery to mention a few.

21. Have national / regional / global partners led, or proactively engaged in, the design of the country / regional / global project, respectively?

☐ 3: National / regional / global partners have full ownership of the country / regional / global project and led the process of the development of the project jointly with UNDP.

☒ 2: The project has been developed by UNDP in close consultation with national / regional / global partners.

☐ 1: The project has been developed by UNDP with limited or no engagement with national partners

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project has been developed by the Astana Civil Service Hub – UNDP's multilateral institutional platform for knowledge and experience exchange – in close consultation with its participating countries and the Republic of Korea.

22. Are key institutions and systems identified, and is there a strategy for strengthening specific / comprehensive capacities based on capacity assessments conducted?

☐ 3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection and adjust the strategy to strengthen national capacities accordingly.

☐ 2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.

☐ 1: Capacity assessments have not been carried out

☒ Not Applicable

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

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23. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.) to the extent possible?

☐ YES

☐ NO

☒ Not Applicable

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

24. Is there a clear transition arrangement / phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?

☒ YES

☐ NO

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Sustainability of the project initiatives will be ensured through their institutionalization in the participating countries. For instance, the institutionalization of the P2P Alliances the ACSH has established on Innovation and Transformation, on e-Governance and Digitalisation, and on Public Service Delivery. The ACSH is already working on creating permanent structures for these Alliances to ensure their continuation well into the future.

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3. Social and Environmental Screening Template

Project Information

Project Information	Capacity Building of Public Servants for Advancing Digital Transformation and Digital Governance
1. Project Title	
2. Project Number (i.e., Quantum project ID, PIMS+)	01002236
3. Location (Global/Region/Country)	Kazakhstan
4. Project stage (Design or Implementation)	Designed
5. Date	March 2023

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
<i>Briefly describe in the space below how the project mainstreams the human rights-based approach</i>
The Project focuses on strengthening the management capacity of public administration and the civil service organisations in the ACSH participating countries in achieving their human development goals. The project contributes to the establishment of modern, effective, and sustainable public administration and civil service systems that meet society’s expectations for responsive, accountable, and transparent public institutions in the countries of the region and beyond, thus promoting a human-rights based approach to development.
<i>Briefly describe in the space below how the project is likely to improve gender equality and women’s empowerment</i>
The Project ensures gender balance among the participants of its learning and training activities, to the extent possible. It also ensures that demand- and needs-oriented, as well gender-based learning approaches are employed in most cases through the implementation period of the project. In addition, all on-demand capacity building and research-related activities and events, take into account gender aspects.
<i>Briefly describe in the space below how the project mainstreams sustainability and resilience</i>
Sustainability is achieved by improving quality of life of the population and through its contributions to the modernization of governance systems through innovation, and to the advancement of digital transformation, including the provision of digital public services.
<i>Briefly describe in the space below how the project strengthens accountability to stakeholders</i>
Accountability to stakeholders is achieved by continuous monitoring of the project implementation and progress reporting during the lifecycle of the Project.

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Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? ¹⁹	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
<i>Risk Description (Broken down by event, cause, impact)</i>	<i>Impact and Likelihood (1-5)</i>	<i>Significance (Low, Moderate Substantial, High)</i>	<i>Comments (optional)</i>	<i>Description of assessment and management measures for risks rated as Moderate, Substantial or High</i>
No risks are identified				
	QUESTION 4: What is the overall project risk categorization?			
	<i>Low Risk</i>	☒		
	<i>Moderate Risk</i>	☐		
	<i>Substantial Risk</i>	☐		
	<i>High Risk</i>	☐		
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)			
	Question only required for Moderate, Substantial and High-Risk projects – THIS IS A LOW-RISK PROJECT			
	<i><u>Is assessment required? (check if "yes")</u></i>	☐		<i>Status? (completed, planned)</i>
	<i>if yes, indicate overall type and status</i>	☐	Targeted assessment(s)	
		☐	ESIA (Environmental and Social Impact Assessment)	
		☐	SESA (Strategic Environmental and Social Assessment)	
	<i>Are management plans required? (check if "yes")</i>	☐		
	<i>If yes, indicate overall type</i>	☐	Targeted management plans (e.g., Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	

¹⁹ Complete SESP Attachment 1 before responding to Question 2.

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		☐	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
		☐	ESMF (Environmental and Social Management Framework)	
	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?			Comments (not required)
	Overarching Principle: Leave No One Behind			
	Human Rights	☐		
	Gender Equality and Women's Empowerment	☐		
	Accountability	☐		
	1. Biodiversity Conservation and Sustainable Natural Resource Management	☐		
	2. Climate Change and Disaster Risks	☐		
	3. Community Health, Safety and Security	☐		
	4. Cultural Heritage	☐		
	5. Displacement and Resettlement	☐		
	6. Indigenous Peoples	☐		
	7. Labour and Working Conditions	☐		
8. Pollution Prevention and Resource Efficiency	☐			

Final Sign Off

Signature	Date	Description
QA Assessor Bakyt Zhexembay DocuSigned by: 124A76605AFF44D...	25-Mar-2024	Bakyt Zhexembay, Project Manager
Dosbol Tursumuratov DocuSigned by: 5FZ78BF673614D...	25-Mar-2024	Dosbol Tursumuratov, Monitoring and Evaluations Associate
QA Approver A. Greck DocuSigned by: 2E5B234D00CB4D...	26-Mar-2024	Sukhrob Khojimatov, Deputy Resident Representative
PAC Chair K. Hosiemia DocuSigned by: 15AE19A41B5A4B3...	27-Mar-2024	Katarzyna Wawiernia, Resident Representative

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind Human Rights		Answer (Yes/No)
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g., during the stakeholder engagement process, grievance processes, public statements)?	NO
P.2	Is there a risk that duty-bearers (e.g., government agencies) do not have the capacity to meet their obligations in the project?	NO
P.3	Is there a risk that rights-holders (e.g., project-affected persons) do not have the capacity to claim their rights?	NO
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social, or cultural) of the affected population and particularly of marginalized groups?	NO
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? ¹⁶	NO
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	NO
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	NO
Gender Equality and Women’s Empowerment		
P.8	Have women’s groups/leaders raised gender equality concerns regarding the project, (e.g., during the stakeholder engagement process, grievance processes, public statements)?	NO
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	NO
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
P.11	limitations on 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
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	NO
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
<i>Would the project potentially involve or lead to:</i>		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	NO
P.14	grievances or objections from potentially affected stakeholders?	NO
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	NO
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		

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<i>Would the project potentially involve or lead to:</i>		
1.1	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	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) 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?	NO
1.3	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
1.4	risks to endangered species (e.g., reduction, encroachment on habitat)?	NO
1.5	exacerbation of illegal wildlife trade?	NO
1.6	introduction of invasive alien species?	NO
1.7	adverse impacts on soils?	NO
1.8	harvesting of natural forests, plantation development, or reforestation?	NO
1.9	significant agricultural production?	NO
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	NO
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	NO
1.12	handling or utilization of genetically modified organisms/living modified organisms? ¹⁷	NO
1.13	utilization of genetic resources? (e.g., collection and/or harvesting, commercial development) ¹⁸	NO
1.14	adverse transboundary or global environmental concerns?	NO
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	NO
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	NO
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping 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
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	NO
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		NO
3.1	construction and/or infrastructure development (e.g., roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	NO
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	NO
3.3	harm or losses due to failure of structural elements of the project (e.g., collapse of buildings or infrastructure)?	NO
3.4	risks of water-borne or other vector-borne diseases (e.g., temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	NO
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g., explosives, fuel and other chemicals during construction and operation)?	NO
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g., food, surface water purification, natural buffers from flooding)?	NO

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3.7	influx of project workers to project areas?	NO
3.8	engagement of security personnel to protect facilities and property or to support project activities?	NO
Standard 4: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	NO
4.2	significant excavations, demolitions, movement of earth, flooding, or other environmental changes?	NO
4.3	adverse impacts to 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
4.4	alterations to landscapes and natural features with cultural significance?	NO
4.5	utilization of tangible and/or intangible forms (e.g., practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	NO
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	NO
5.2	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	risk of forced evictions? ¹⁹	NO
5.4	impacts on or changes to land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?	NO
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	NO
6.2	activities located on lands and territories claimed by indigenous peoples?	NO
6.3	impacts (positive or negative) to 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 screening question 6.3 is “yes”, then Standard 6 requirements apply, and the potential significance of risks related to impacts on indigenous peoples must be Moderate or above. *</i>	NO
6.4	the 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	the utilisation and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	NO
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	NO
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	NO
6.8	risks to the physical and cultural survival of indigenous peoples?	NO
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	NO

* Note: revised July 2022 modifying presumption of risk significance from Substantial or higher to Moderate or higher.

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Standard 7: Labour and Working Conditions	
<i>Would the project potentially involve or lead to: (Note: applies to project and contractor workers)</i>	
7.1 working conditions that do not meet national labour laws and international commitments?	NO
7.2 working conditions that may deny freedom of association and collective bargaining?	NO
7.3 use of child labour?	NO
7.4 use of forced labour?	NO
7.5 discriminatory working conditions and/or lack of equal opportunity?	NO
7.6 occupational health and safety risks due to physical, chemical, biological, and psychosocial hazards (including violence and harassment) throughout the project life cycle?	NO
Standard 8: Pollution Prevention and Resource Efficiency	
<i>Would the project potentially involve or lead to:</i>	
8.1 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
8.2 the generation of waste (both hazardous and non-hazardous)?	NO
8.3 the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	NO
8.4 the 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 Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	NO
8.5 the application of pesticides that may have a negative effect on the environment or human health?	NO
8.6 significant consumption of raw materials, energy, and/or water?	NO

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4. Risk Analysis.

Project Title: Capacity Development of Public Servants in Advancing Digital Transformation and Digital Governance	Project Number: 01002236	Date: 21-Mar-24
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#	Event	Cause	Impact(s)	Risk Category and Sub-category (including Risk Appetite)	Impact, Likelihood & Risk Level (see Annex 3 Risk Matrix)	Risk Valid From/To	Risk Owner (individual accountable for managing the risk)	Risk Treatment and Treatment Owner
1	There is a risk that capacity development workshops organised on various aspects of digital transformation processes are not entirely relevant and timely and thus have not significant impact	As a result of misinterpreting the priorities and current needs of the participating countries	Which will impact the expected results of the project and the quality of the knowledge and experience It will attempt to convey to its intended beneficiaries	7. STRATEGIC (7.7. Alignment with national priorities) - UNDP Risk Appetite: OPEN TO SEEKING	Likelihood: 2 - Low likelihood Impact: 4 - Extensive Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 15-Mar-24 To: 30-Jun-26	ACSH Management	Risk Treatment 1.1: the project will pay particular attention for ensuring that topics are relevant and organise events that have maximum impact on knowledge and expertise mutually acquired by the participating countries. Risk Treatment Owner: Project Manager Risk Treatment 1.2: UNDP and ACSH possess the necessary experience at both the substantive and operational levels to meet the demands of the project beneficiaries and achieve the project's expected results. Risk Treatment Owner: Project Manager Risk Treatment 1.3: First activity of the project – the inter-regional conference – aims at gathering and prioritising the immediate needs of the participating countries in the area of digital transformation. Risk Treatment Owner: Project Manager
2	There is a risk that some of the participating countries withdraw from the project either due to	As a result of changing circumstances or their priorities are no longer congruent with the remaining	Which will impact in the successful completion of the project as envisioned during its design and planning stages.	7. STRATEGIC (7.7. Alignment with national priorities) - UNDP Risk Appetite: OPEN TO SEEKING	Likelihood: 2 - Low likelihood Impact: 2 - Minor	From: 15-May-24 To: 31-Dec-26	UNDP/ACSH Management	Risk Treatment 2.1: UNDP tolerates demands from participating countries and accommodates to the extent possible their participating circumstances change during the project implementation period.

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	changing priorities or other issues of national interest unforeseen at the design stage of the project.	participating countries.			Risk level: LOW (equates to a risk appetite of MINIMAL)			Risk Treatment Owner: Project Manager
3	There is a risk that fluctuations in currency exchange levels will lead to diminishing donor funds for the second and third years of project implementation.	As a result of a change in the exchange rate between the Korean Won and the US Dollar.	Which will impact the number and scope of activities to be implemented during the second and third year of the project implementation.	2. FINANCIAL (2.4. Fluctuation in credit rate, market, currency) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS	Likelihood: 3 - Moderately likely Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 01-Mar-25 To: 01-Mar-26	ACSH Management	Risk Treatment 3.1: UNDP monitors the exchange rate between the Korean Won and the US Dollar and in cooperation with the donor determines the optimal time for the release of the yearly disbursement allowing for getting the most favourable rate of exchange. Risk Treatment Owner: Project Manager. Risk Treatment 3.2: the project team will incorporate some degree of flexibility in the operationalisation of its activities to be utilised if lesser than expected funds are received during the project implementation. Risk Treatment Owner: Project Manager.

5. Project Board Terms of Reference.

I. Background

All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on established monitoring and evaluation metrics and high-level implementation issues to ensure quality of delivery of results. For the purpose of this ToR and to ensure standardisation, henceforth, as regards project documentation, such a body shall only be referred as the Project Board. The Project Board is the most senior, dedicated oversight body for a UNDP “Development Project”, which is defined in the PPM as an instrument where UNDP “delivers outputs where UNDP has accountability for design, oversight and quality assurance of the entire project”.

II. Duties and Responsibilities

The two prominent (mandatory) roles of the Project Board are as follows:

- a) **High-level oversight of the project:** This is the primary function of the Project Board.
 - It reviews evidence of project performance based on monitoring, evaluation, and reporting, including project reports, monitoring missions’ reports, evaluations, risk logs, and the quality assessment.
 - It is the main body responsible for taking corrective actions as needed to ensure the project achieves the desired results.
 - Its function includes oversight of annual assessments of any major risks to the project, and related decisions / agreements on any management actions or remedial measures to address them effectively.
 - It also carries out the role of quality assurance of the project taking decisions informed by, among other inputs, the project quality assessment. In this role, the Project Board is supported by the quality assurer, whose function is to assess the quality of the project against the corporate standard criteria. This function is performed by a UNDP programme or monitoring and evaluation officer to maintain independence from the project manager regardless of the project’s implementation modality.
 - It reviews updates to the project risk log.
- b) **Approval of key project executive decisions:** this is the secondary – but equally important – role of the Project Board.
 - It approves certain adjustments above provided tolerance levels, including substantive programmatic revisions (major / minor amendments), budget revisions, requests for suspension or extension and other major changes (subject to additional funding partner / donor requirements).
 - It makes management decisions by consensus when required, including the approval of project plans and revisions, and the project manager’s tolerances.
 - It approves annual work plans and reviews updates to the project risk log.

Within the overall governance and management arrangements of the project, the role of the Project Board as regards these two key functions is distinct from the roles of entities involved in the implementation of the project, namely the implementation partner (IP), service providers and project staff.²⁰

In order to ensure UNDP’s ultimate accountability, the Project Board decisions are made in accordance with the Quality Standards for Programming to ensure management for development results, best value for money, fairness, integrity, transparency, and effective national and international competition. The Project Board to be effective needs credible data, evidence, quality assurance and reporting to aid decision making. It also needs to be accountable to protect against conflicts of interest.

Specific responsibilities of the Project Board include the following:

²⁰ The diagram of the organisational structure of the project is included in the Governance and Management Arrangements section VIII, page 13 of the project document.

- Provides overall guidance and direction to the project, ensuring it remains within any specified constraints, and promote gender equality and social inclusion (LNOB) in the project implementation;
- Review project performance based on monitoring, evaluation, and reporting, including standard quality assurance checks, progress reports, risk logs, and spot checks / audit reports;
- Address any high-level project issues as raised by the Chairperson of the Project Board;
- Provide guidance on emerging and/or pressing project risks and agree on possible mitigation and management actions to address specific risks (including ensuring compliance with UNDP's Social and Environmental Standards, Fraud / corruption, Sexual Exploitation and Abuse and Sexual Harassment);
- Agree or decide on project manager's tolerances as required, within the parameters set by UNDP and the donor, and provide direction and decisions for exceptional situations when the project manager's tolerances are exceeded;
- Advise on major and minor amendments to the project within the parameters set by UNDP and the donor;
- Agree or decide on a project suspension or cancellation, if required;
- Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Receive and address project level grievances, including overseeing whatever specific compliance and stakeholder response (or grievance) mechanisms have been put in place so that individuals and communities potentially affected by the project have access to effective mechanisms and procedures for raising concerns about the social and environmental performance of the project.²¹

Additional responsibilities of the Project Board include, but are not limited to, the following:

- Ensure coordination between the various donors and government-funded projects and programmes;
- Ensure coordination with multiple government agencies and their participation in project activities;
- Appraise the annual project implementation report, including the quality assessment rating report;
- Ensure commitment of human resources to support project implementation, arbitrating any issues within the project;
- Act as an informal mechanism for stakeholders;
- Approve the Project Inception Report, Mid-Term Review and Terminal Evaluation reports and corresponding management responses;
- Review the final project report package during an end-of-project review meeting to discuss lessons learned and opportunities for scaling up;

III. Composition of the Project Board

The members of the Project Board are: (1) the Executive; and (2) the Development Partners / Senior Suppliers.

- The **Executive** comprises the Implementing Partner, the UNDP Kazakhstan represented by the Chairperson of the Astana Civil Service Hub and/or his designated representative[s].
- The **Development Partners** or otherwise called Senior Suppliers are the Ministry of the Interior and Safety of the Republic of Korea, and the UNDP Kazakhstan's institutional platform, the Astana Civil Service Hub. The Ministry of the Interior and Safety provides funding and strategic guidance whereas the UNDP and ACSH provide strategic oversight and technical expertise.

IV. Support Functions to the Project Board

²¹ According to the UNDP's Social and Environmental Standards (SES) codified in the PPM.

There are also two other entities / functions outside the Project Board structure whose role is to report to the Project Board and support board members in effectively fulfilling their roles: project assurance and project management.

- **Project Assurance:** It is the responsibility of each Project Board member; however, UNDP has a distinct assurance role. It performs quality assurance and supports the Project Board and the Project Management Unit by carrying out objective and independent project oversight and monitoring functions, including applying UNDP's social and environmental management system to ensure the SES are applied through the project cycle. A designated representative of UNDP who assumes the project assurance role is expected to attend all Project Board meeting and support the Committee's processes as a non-voting representative.
- **Project Management Unit:** the Project Coordinator is the senior most representative of the Project Management Unit and is responsible for the overall implementation of the project on behalf of the Project Board. The Project Manager is responsible for the day-to-day management of the project, including the mobilisation of all project inputs, supervision over project staff, responsible parties, consultants, and sub-contractors. The project manager typically presents key deliverables and documents to the Project Board for review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk logs.