

### IRMU Clearance Slip

**Project Title: The Pacific Parliamentary Effectiveness Initiative (PPEI)**

**Project Number: 00100585**

**Date: 23<sup>rd</sup> April 2019**

UNDP CORPORATE STANDARD	IRMU Comment	Clearance Status
Use of correct UNDP standard template	Correct standard UNDP Project document template has been used.	Cleared
Results Based Management	Baseline, Targets and Indicators are at appropriate level. It's in RBM language <ul style="list-style-type: none"> <li>- Results Resources Framework incorporated</li> <li>- Monitoring and Evaluation Plan incorporated</li> </ul>	Cleared
PrePAC/LPAC	PrePac is optional after new PPM rewrite LPAC – took place on 23 <sup>rd</sup> April 2019	Cleared
Budget and Multiyear workplan	<ul style="list-style-type: none"> <li>- Budget has been cleared by Dhiraj</li> <li>- Multiyear work plan included in prodoc</li> </ul>	Cleared 
ATLAS Entry and Quality Assurance	<ul style="list-style-type: none"> <li>- All ATLAS entry to be cleared by IRMU ones completed</li> </ul>	Pending
Quality Assurance on Corporate Planning System	<ul style="list-style-type: none"> <li>- Quality assurance (QA – Design and Appraisal) has been completed offline, however to be done online in Corporate Planning System (CPS) ones prodoc is signed.</li> </ul>	Cleared, follow up required to get QA approved in system ones prodoc is approved.
Attachments	<ol style="list-style-type: none"> <li>1. QA (Design and Appraisal) .</li> <li>2. SESP ✓</li> <li>3. Risk Log ✓</li> <li>4. Endorsed LPAC minute ✓</li> </ol>	Cleared

Quality Assurance: 

23/04/2019

Mahezabeen Khan (Mezi)

M&E Analyst

Clearance Signature: 

Nasantuya Chuluun

Operations and Implementation Support Adviser



## Project Appraisal Committee Meeting

**Date:** 23 April 2019  
**Project Appraised:** Pacific Parliamentary Effective Initiative – Phase 2 (PPEI II)

### 1. Attendance

#### LPAC Members:

Name	Title	Organization
Mahezabeen Khan	M&E Analyst - IRMU	UNDP
Jean Raphael Giuliani	Parliament Specialist - Effective Governance	UNDP
Dyfan Jones <i>[Meeting Chair]</i>	Team Leader - Effective Governance	UNDP
Elise Trewick	Development Officer - Governance Pacific and Development Group	MFAT
Dhiraj Singh	HACT Analyst	UNDP
Adelle Khan	Programme Associate- Effective Governance	UNDP

### 2. Welcome and Introduction

The Chair, Mr Dyfan Jones, welcomed the committee members. Introductions were made by members participating from the UNDP office in Suva, Fiji with a welcome to Ms. Elise Trewick of MFAT, New Zealand. Both Ms. Trewick and the Chair joined the meeting via telephone from Wellington and Myanmar respectively.

### 3. Presentation by Project Developer

Jean Raphael Giuliani shared that the project document encapsulates the results from the PPEI 1 evaluation undertaken in the later part of 2018 in all the PPEI focus countries. The activities in the new phase will be complementary to those undertaken in PPEI Phase 1, with two notable additions.

The first being a more strategic involvement of the Parliament of New Zealand in identifying possible activities and areas of implementation for the focus Parliaments. The involvement of the New Zealand Parliament was agreed to between the Parliament and MFAT. The other is the inclusion of the parliament outreach component, with the aim of strengthening the Pacific parliaments capacity on community engagement. The latter was included after explicit request from the five focal country parliaments.

The development challenge that the project seeks to address is the limited effectiveness and capacity of national parliaments, in Pacific Island countries, to engage with key development issues, contribute to the development of participatory and transparent national planning processes, expand parliamentary outreach and citizen engagement to include traditionally excluded groups such as women and youth, and increase the political participation of women. PPEI Phase II will implement a range of regional and country level initiatives in selected Pacific Island countries, following the implementation of PPEI-Phase I (May 2016 – March 2019)

The regional approach of PPEI-II with focus countries, will complement results of PPEI-Phase I in the Cook Islands, Papua New Guinea, the Solomon Islands, Tonga and Vanuatu. It will also allow parliamentary development work to be undertaken in other countries of the region, especially countries not currently directly benefiting from UNDP parliamentary projects – including Niue, Kiribati, Nauru, Palau, Tokelau and Tuvalu.

Pacific Island countries will benefit from this project through peer to peer support strategies in partnership with other parliaments, development agencies and stakeholders; direct technical assistance to legislatures; and via regional initiatives to maximise the reach and sustainability of the project's activities.



The PPEI-II project has a four-year life span and will focus its activities to achieve two specific outputs of Outcome 5 of the United Nations Development Programme Sub-Regional Programme Document (SRPD) for the Pacific Islands Countries and Territories (2018-2022). Output 5 being : By 2022, people and communities in the Pacific will contribute to and benefit from inclusive, informed and transparent decision-making processes, accountable and responsive institutions, and improved access to justice, and Output 1: Increased transparency and accountability in governance institutions and formal and informal decision-making processes (GEN 2) and Output 2: Increased voice and more inclusive participation by women, youth and marginalized groups in national and subnational decision-making bodies that are more representative (GEN 3).

**4. Quality Assurance Assessment Report by the Project's QA Assessor (areas of strengths and weaknesses)**

The QA was briefly presented by the Project Quality Assurance Assessor, outlining the overall project rating criteria (See attached Annex). The project was deemed by UNDP of sufficient quality to proceed. The QA was approved by the LPAC.

**5. Discussions**

The development of the outputs was drawn from (i) the PPEI I evaluation discussions and meetings held with Members of Parliament, parliament secretariat and local UNDP office representatives (ii) during the development of the project document where constant communication was carried out with stake holders to translate the needs of the focal country parliaments into the document and (iii) during the PPEI strategic meeting with PPEI Phase 1 focus parliament representatives, that was held in Wellington in March 2019.

For the Sustainability & National Ownership: QA#23 answer, a query raised by Ms. Trewik on whether the Project has a transition/phase out plan - The Project team envisions that by the end of the project, the parliaments will be able to sustain the activities on their own. However, mid way through, as done by UNDP for nationally implemented and managed projects, there will be plans to conduct a mid-term evaluation of the Project. The monitoring and evaluation exercise will assist the team and the donor to gauge the focus countries sustainability levels; identify possible scale up results; investigate avenues for further resource mobilisation as well as relook at communication strategies. The emphasis to review the projects activities in the two year mid-term evaluation is to see whether certain activities will continue and in which areas, and identifying the next phase, if required.

**6. Final LPAC recommendation**

It was unanimously recommended by the LPAC that the project be approved. The project should now proceed for signature by the Ministry of Foreign Affairs and Trade (MFAT) and UNDP Pacific Office in Fiji.

LPAC minutes prepared by:



Adelle Khan  
Programme Associate

LPAC minutes are approved by:



(Chairperson of the meeting)

Dyfan Jones  
Effective Governance Team Leader









**Pacific Parliamentary Effectiveness Initiative – Phase II**  
**Country: Regional (Pacific Office)**

**Project Title:** Pacific Parliamentary Effectiveness Initiative (PPEI) Phase II

**Project Number:** 00118639

**Implementing agency:** UNDP Pacific Office in Fiji

**Start Date:** 23 April 2019

**End Date:** 31 March 2023

**PAC Meeting date:** 23<sup>rd</sup> April 2019

**Brief Description**

The development challenge that the project seeks to address is the limited effectiveness and capacity of national parliaments, in Pacific Island countries, to engage with key development issues, contribute to the development of participatory and transparent national planning processes, expand parliamentary outreach and citizen engagement to include traditionally excluded groups such as women and youth, and increase the political participation of women. PPEI Phase II will implement a range of regional and country level initiatives in selected Pacific Island countries, following the implementation of PPEI-Phase I (May 2016 – March 2019)

The regional approach of PPEI-II with focus countries, will complement results of PPEI-Phase I in the Cook Islands, Papua New Guinea, the Solomon Islands, Tonga and Vanuatu. It will also allow parliamentary development work to be undertaken in other countries of the region, especially countries not currently directly benefiting from UNDP parliamentary projects – including Niue, Kiribati, Nauru, Palau, Tokelau and Tuvalu.

Pacific Island countries will benefit from this project through peer to peer support strategies in partnership with other parliaments, development agencies and stakeholders; direct technical assistance to legislatures; and via regional initiatives to maximise the reach and sustainability of the project's activities.

The PPEI-II project will focus its activities to achieve two specific outputs of Outcome 5 of the United Nations Development Programme Sub-Regional Programme Document (SRPD) for the Pacific Islands Countries and Territories (2018-2022). The project is for four years.

Contributing Outcome (UNDAF/CPD, RPD or GPD):  
 Outcome 5 of the UNDP Sub-Regional Programme Document (SRPD) for the Pacific Islands Countries and Territories (2018-2022)

By 2022, people and communities in the Pacific will contribute to and benefit from inclusive, informed and transparent decision-making processes, accountable and responsive institutions, and improved access to justice.

Indicative Output(s) with gender marker:

Increased transparency and accountability in governance institutions and formal and informal decision-making processes (GEN 2)

Output 2: Increased voice and more inclusive participation by women, youth and marginalized groups in national and subnational decision-making bodies that are more representative (GEN 3)

<b>Total resources required:</b>	USD\$5.477m	
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	
	<b>NZ MFAT:</b>	USD\$5.477m
	<b>Government:</b>	
	<b>In-Kind:</b>	
<b>Unfunded:</b>		

Agreed by (Signatures):

NZ MFAT	UNDP
Print Name: _____ Date: _____	 Print Name: <b>Vineet Bhatia</b> Date: <b>24/4/2019</b>

ME

## I. BACKGROUND AND DEVELOPMENT CHALLENGE

Parliaments lie at the heart of democratic governance systems. They represent the formal link between citizens and the state. Legitimate, effective and accountable parliaments enhance governance quality, facilitate national development, and are associated with political stability<sup>12</sup>. Parliaments are the primary venue for democratic dialogue, ensuring government accountability, and the just and peaceful resolution of differences within society. While parliaments exist within a governance ecosystem, they are a leverage point for change and a privileged venue for discussing societal goals and challenges. Strengthening the parliaments of the Pacific Islands nations is a key step in enhancing governance, including the national budget cycle, equipping countries to foster enhanced human development in line with the Sustainable Development Goals, and enabling them to respond effectively and efficiently to emergent crises.

Parliaments in the Pacific face particular challenges. Because they are typically small and relatively under-resourced, they do not have immediate access to expertise in organizational strengthening. The weakness or absence of institutionalised political parties, which normally provide structure to parliamentary functioning, can undermine the effectiveness of Pacific Island nations' parliaments. The presence of clearly defined government and opposition groupings ensures that legislation is scrutinised, the national budget is followed throughout the budget cycle, and that government is held accountable for implementation of its governance programme. In contrast, in this region, parliamentary committees often do not consistently follow government programme implementation, or provide effective budget oversight, increasing fiduciary risk and reducing government accountability in programme delivery.

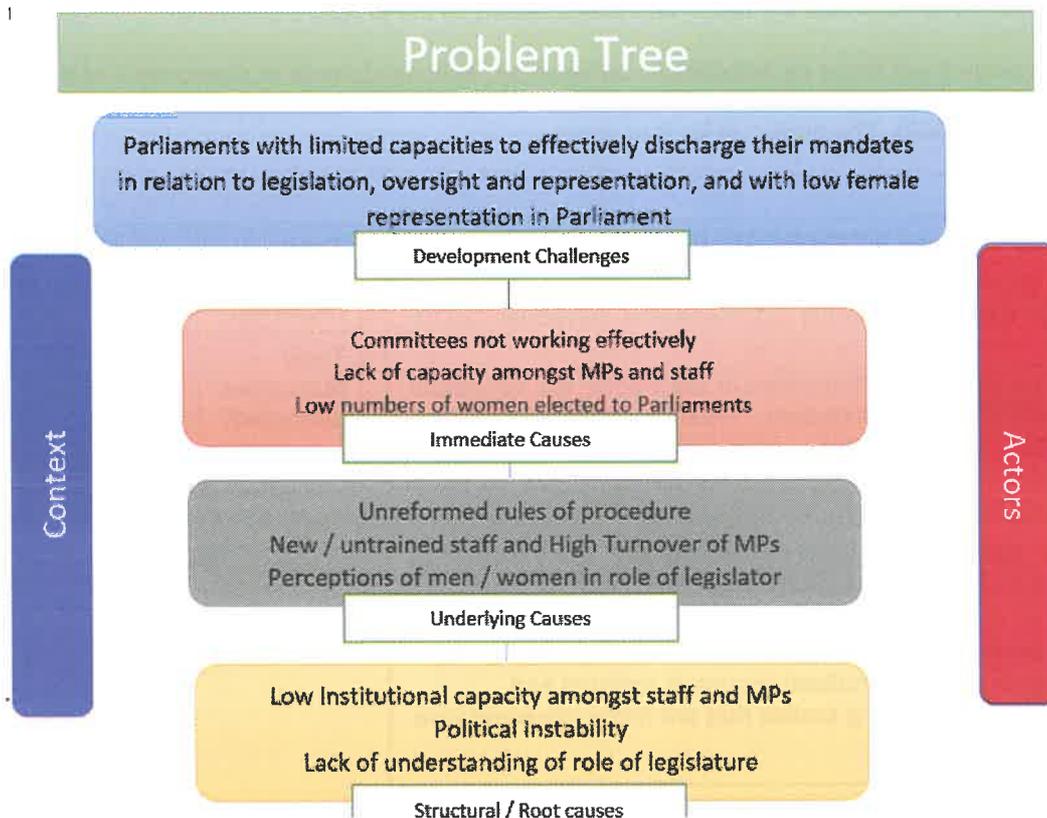


Figure 3: "Problem tree" the Development challenge addressed by PPEI Phase II

PPEI II will build on and further develop the work of PPEI phase one, fostering more structured, professional parliaments that in turn will assure greater government accountability, and more equitable access to voice and decision-making.

<sup>1</sup> Bunce, V. (2000), "Comparative Democratization: Big and Bounded Generalizations", *Comparative Political Studies*, 33, 703-734.

<sup>2</sup> M. Stephen Fish. 2006. 'Stronger legislatures, stronger democracies.' *Journal of Democracy* 17(1):5-20.

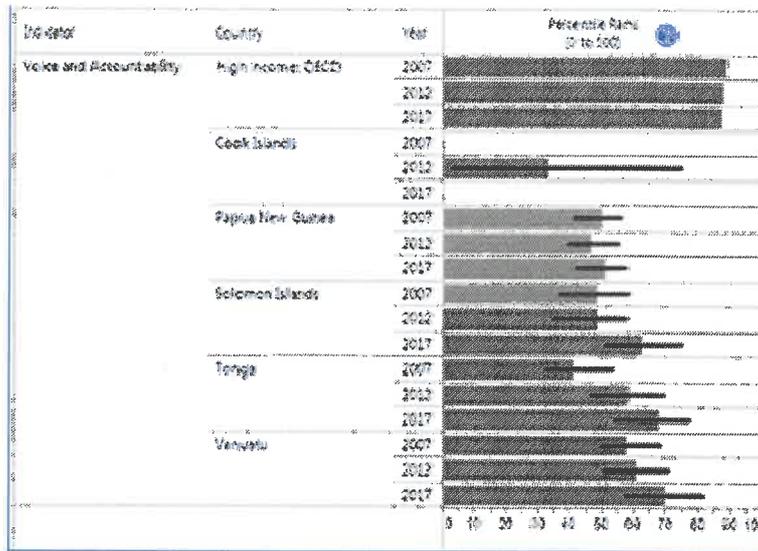


Figure 1: World Bank rankings of the 5 programme countries on Voice and Accountability

PPEI II will place particular emphasis on enhancing women’s political participation. The countries of the region have some of the lowest percentages of women MPs in the world, reflecting social inequality that denies women the chance to fully develop and contribute their skills and knowledge, and hampers overall human development. Overall gender inequality in the region is high by international standards. PPEI II will build on and deepen the first phase’s work in engaging women as political actors and candidates for elected office, and in supporting women’s political leadership as both MPs and parliamentary administrators.

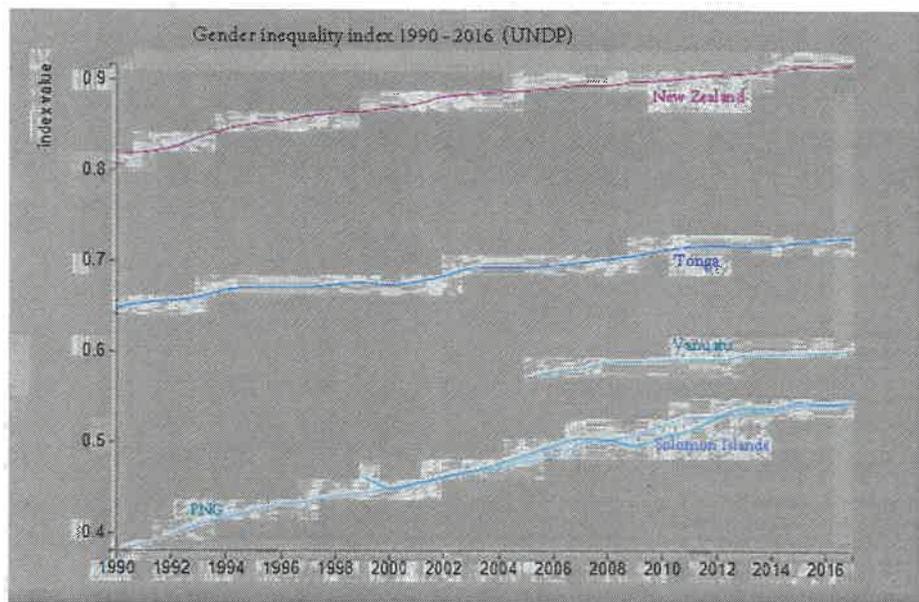


Figure 2: Gender Inequality Index (UNDP Human Development Report)

### PPEI Phase I – Summary

In May 2016, the UNDP Pacific Office in Fiji began the implementation of the Pacific Parliamentary Effectiveness Initiative (PPEI), supported by New Zealand’s Ministry of Foreign Affairs and Trade (MFAT). PPEI originally focussed on strengthening the capacity of 4 parliaments, the parliaments of the Cook Islands, of Papua New Guinea, of the Solomon Islands and of Tonga, in fulfilling their constitutional mandate of legislation, oversight and representation. In January 2018, New Zealand agreed to extend the support to a fifth focus parliament, the Parliament of Vanuatu. The project implementation period was 34 months, from May 2016 to March 2019.

The first phase of PPEI focused on the following objectives:

<ul style="list-style-type: none"><li>• Parliamentary secretariats in Cook Islands, PNG, Solomon Islands, Tonga are better able to provide MPs with adequate support, including the delivery of induction training for new members, research and preparation of briefing on key development issues</li></ul>
<ul style="list-style-type: none"><li>• Cross-cutting development issues mainstreamed in Pacific parliaments</li></ul>
<ul style="list-style-type: none"><li>• Parliaments in the four countries will have consistently stronger budget debates and effective public accounts committee processes in operation</li></ul>
<ul style="list-style-type: none"><li>• Capacity of potential women candidates to campaign and engage in policy debates increased through provision of training and capacity building activities</li></ul>
<ul style="list-style-type: none"><li>• Increased number of women candidates selected by political parties in selected Pacific countries</li></ul>

### **PPEI results – a baseline for Phase II**

In preparation for the proposed second phase, a project evaluation was carried out in September and October 2018. The preliminary evaluation findings confirm that the project objectives had been largely met. Annual targets had been set for each of the project objectives, and these were tracked. In year one 10 of 12 targets were fully met, and two were partially met. In year two, 11 of 13 targets were met. The project activities evolved according to experience from the previous year, and on the basis of an annual planning workshop engaging the parliamentary partners as well as the project team. This approach enabled an appropriate balance between maintaining the core objectives of the project, while adjusting the activities to attain those objectives according to implementation experience.

The evaluation noted the following specific achievements:

- Identification of specific needs, forging of relationships of confidence with key agents for change, and tailored reform strategies with each of the five parliaments;
- South-south mutual learning in which the participating parliaments collaborated together to implement project activities, for example through the 'floating budget office' initiative, enabling mutual learning as the effective use of external expertise;
- Strengthened role of parliamentary committees as the key location for enhancing parliamentary effectiveness, providing oversight of government programme implementation, and engaging citizens and civil society in parliamentary work;
- Enhanced capacity of the Public Accounts Committees of the parliaments to effectively review government accounts, make recommendations for reform in government financial management, and follow-up on those recommendations;
- Women's political and administrative leadership strengthened through exposure to international best practices in parliamentary management and fostering of regional network of women parliamentary clerks;
- Foundation laid for greater women's political representation through exposure of women to parliamentary processes and techniques of political engagement;
- Strategic approach to parliamentary reform through support to parliamentary development planning, and enhanced regulatory framework for parliamentary work (including reformed rules of procedure).

As is typical for projects of this type, depending upon the governance situation in each of the five implementation countries, the project encountered challenges in some areas of activity implementation and objective attainment, which were discussed on a continuing basis with MFAT. Specific challenge areas included:

- Slower than anticipated implementation in Papua New Guinea. This was addressed to reaching out to different actors, and by focusing on work areas where there were change champions and where progress could be made;
- Resistance to formal approaches to increasing gender equity in representation (for example opposition to temporary special measures such as legislated gender quotas). In this circumstance the project has focused particularly on working with political parties to build support for inclusion of women on party lists, and also supporting women leaders both at the political and the senior staff level;
- Tendency for parliaments to request support on an ad hoc basis. This common issue in parliamentary support programming requires a flexible response. On the one hand, requested support is typically for a legitimate priority, and responding to that request helps parliament to address specific issues (for example, technical advice on the constitutionality of a government decision). On the other hand, it is important that support has a developmental and sustainable objective. This can be attained through working with each parliament to develop a strategic plan or reform roadmap that sets a clear direction while allowing flexibility to address emergent issues;
- Integrating development objectives such as the SDGs into parliamentary work. Here the project evolved significantly during its implementation, away from a focus on the SDGs as external objectives, and towards the integration of development objectives, selected and tailored according to the needs of the specific context, into the oversight and legislative work of the parliaments and particularly of parliamentary committees. Effective functioning of parliamentary committees is generally an indicator of overall institutional effectiveness, and support to committees and tying their oversight activities to development outcomes of government programming will be an important feature of Phase II.

Overall the evaluation finds that a solid base for parliamentary development has been established with PPEI, and that a new phase will build upon that base. Governance strengthening is a long-term process that involves the gradual building of effective and accountable institutions. One factor to be further emphasized in a second phase is the need for the role of parliaments to be better understood by citizens, as well as for parliaments to increase opportunities for citizen engagement in decision-making. This is important in countering informal decision-making which inevitably reduces governance transparency, solidifies existing power imbalances, and can hamper needed reforms.

The evaluation findings include the following recommendations for future support to parliaments in the region:

- Build upon the innovative and sustainable strategy of shared learning, in which key staff from the five parliaments (and where appropriate, other non-focus country Pacific Islands parliaments) work together to develop and implement enhanced parliamentary functions, especially related to committee oversight work, budget scrutiny, and budget accounting;
- Enhance the understanding of citizens and civil society on the roles of parliament, and develop opportunities for structured citizen engagement in parliamentary processes through tools including parliamentary hearings, outreach to constituencies, and improved two-way parliamentary communications using both traditional and new technologies;

- Deepen the process of translating global and national development objectives (such as the SDGs) into the practical work of parliament, particularly through integration of development goals into the oversight work of parliamentary committees;
- Enhance support to women's political participation through expanded work with political parties to increase commitments on recruitment of women as candidates, support social dialogue on the links between gender equality and economic and social development;
- Support development of medium to long term institutional development plans by each of the five parliaments, enabling the planning of development activities within a structured framework and avoiding ad hoc initiatives;
- Foster closer engagement of the New Zealand House of Representatives as a project partner, including as a member of the project board, and participation in annual project planning workshops with the beneficiary parliaments, allowing enhanced planning of NZ technical support;
- Enable non-focus parliaments within the region to benefit from PPEI-II support on an as-needed basis. This could take two forms; one, staff from non-focus countries could participate when multi-country activities are conducted such as the 'floating budget office', thus benefitting from PPEI core capacity-building; and, one-time support for specific strengthening activities engaged by non-focus country parliaments, which will include Niue, Nauru, Tokelau, Kiribati, Tuvalu and Palau.

---

## STRATEGY

### PPEI Phase II – Theory of Change

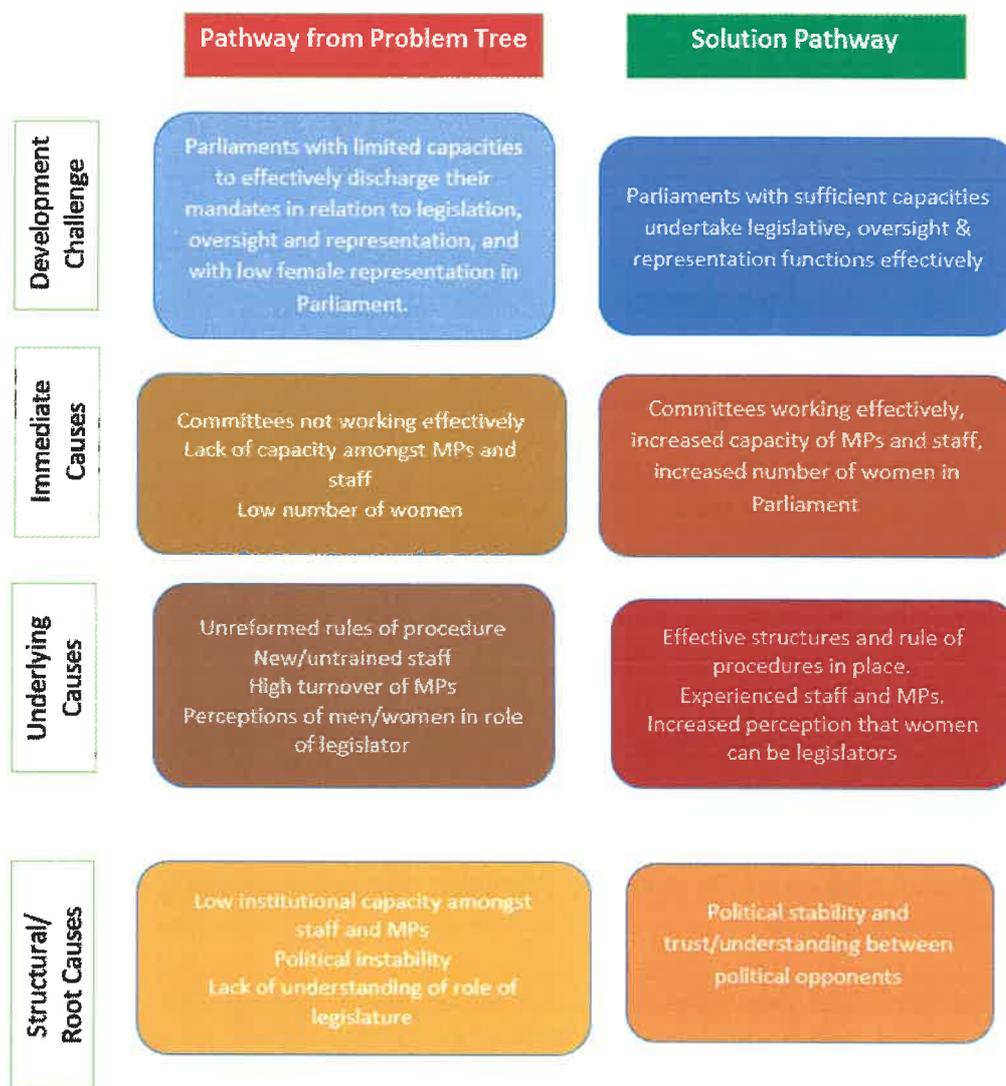
Governance in the Pacific Islands nations, including in the project focus countries, is characterised by a high level of informality and relatively weak governance institutions including parliaments<sup>3</sup>. Politics tend to be dominated by personalities, even where political parties exist<sup>4</sup>. While most of the small democracies in the region are relatively politically stable, many citizens, particularly from vulnerable groups, women, and youth, lack voice in decision-making processes. While parliaments in every country are part of the social and institutional ecosystem, as elected institutions that reflect the diversity of interests and perspectives, they establish an institutional framework that provides a peaceful, constructive, and rule-based approach for all citizens to engage in decision-making, and to foster transparency in governance.

*The project Theory of Change argues that, by supporting parliamentary strengthening through the project activities, parliaments in the focus countries will be capacitated to operate more efficiently, effectively and transparently. This will enable citizens to observe and participate in the governance process, thus increasing their stake in transparent and responsive governance. Through increased public scrutiny and engagement, governance efficiency will improve, enabling enhanced human development outcomes.*

---

<sup>3</sup> Veenendaal, W. (2014). *Politics and democracy in microstates*. London, Routledge.

<sup>4</sup> Corbett, J. (2015). "Everybody knows everybody": Practising politics in the Pacific Islands. *Democratization*, 22(1), 51-72.



The project theory of change focuses on particular leverage points that have been shown to be effective during PPEI Phase I and in international parliamentary development practice. These include:

- New MPs are provided professional inductions making them aware of their roles and responsibilities, and their accountability to citizen electors, thus enhancing citizen trust in their MPs and the decisions they make;
- Parliaments are equipped with capable secretariats that can provide research and technical support necessary for them to effectively scrutinize legislation and oversee government action, improving the quality of governance;
- Parliaments are exposed to international best parliamentary practice, and are at the same time supported in their development through a regional mutual learning approach that fosters common enhancement of parliamentary functioning in the focus countries and throughout the region;
- Parliaments and specifically parliamentary committees are exposed to development outcome-based oversight techniques, thus translating global development objectives into tools for assessing and addressing the specific development needs and challenges of the individual states;
- Through strengthening of parliamentary roles in the national budget process, budgetary transparency and accountability will be increased, ensuring efficient government

programming and enabling shift of donor funding to national budgetary systems (budget support) in line with the Paris Declaration and Accra Agenda for Action<sup>5</sup>;

- Support to enhanced processes for outreach and dialogue with citizens will foster a shift away from informal and non-inclusive decision-making towards transparent debate and inclusive decision-making, increasing citizen confidence in the decision-making process and increased compliance with decisions even if these were not those preferred by the individual;
- Focus on political parties as a vehicle for enhancing women's political participation, in the absence of broad consensus for legislative quotas; an approach that has proven an effective step towards greater women's political representation in numerous countries<sup>6</sup>;

## **New Zealand – a leading parliamentary democracy in the region**

New Zealand has long been a world leader in terms of its commitments to parliamentary democracy as the foundation of good governance. The New Zealand parliament, established in 1854, is one of the longest continuously functioning parliaments in the world. The parliament is recognized as being one of the most innovative and most effective in the world, and consistently takes a lead in establishing global standards for parliamentary functioning<sup>7</sup>.

New Zealand has for many years supported democratic strengthening as part of its overseas development commitments, both through bilateral support and through support to multilateral institutions such as UNDP, which was led from 2009 to 2017 by former New Zealand Prime Minister Helen Clark.

During PPEI Phase I, staff and MPs of the New Zealand parliament provided substantial technical support to project activities.

In Phase II, the House of Representatives will be asked to partner with the project through participation in annual review and planning workshops with the beneficiary parliaments. This will facilitate a more structured engagement of the House of Representatives, both enabling the project and the beneficiary parliaments to benefit from the NZ parliamentary staff strategic thinking in programme implementation, and also permitting the NZ House of Representatives to plan for specific technical supports within the PPEI.

New Zealand's government has announced its updated foreign policy *Strategic Intentions for 2018-2022*<sup>8</sup>, based on a series of measurable ten-year objectives. Of particular relevance to the strengthening of Pacific Parliaments are the following policy objectives:

*[2.6] Pacific states have more effective and accountable institutions and better public services*

*[1.1] Pacific Island countries make meaningful progress towards achieving the SDGs in areas that New Zealand is supporting*

*[1.2] Gender equality and women's empowerment is improved in Pacific countries*

---

<sup>5</sup> <https://www.oecd.org/dac/effectiveness/parisdeclarationandaccraagendaforaction.htm>.

<sup>6</sup> Caul, M. (1999). Women's representation in parliament: the role of political parties. *Party politics*, 5(1), 79-98; Gilardi, F. (2015). The Temporary Importance of Role Models for Women's Political Representation. *American Journal of Political Science*, 59(4), 957-970. Dolan, J., Deckman, M. M., & Swers, M. L. (2017). *Women and politics: Paths to power and political influence*. Rowman & Littlefield.

<sup>7</sup> In 2018, New Zealand parliamentary representatives were instrumental in developing the updated Benchmarks for Democratic Legislatures: <https://www.wfd.org/2018/06/25/benchmarks-for-democratic-legislatures-updated-at-wilton-park-meeting/>.

<sup>8</sup> <https://www.mfat.govt.nz/assets/MFAT-Corporate-publications/MFAT-Strategic-Intentions-2018-2022.pdf>.

PPEI II aligns closely with key objectives within New Zealand’s foreign policy, and also provides an opportunity to build further synergies between the New Zealand parliament, the parliaments of the Pacific, and UNDP as project implementer.

## **UNDP and Parliamentary Development – working with partners and building on synergies at regional level**

Working with an institution like Parliament that has key governance functions, but is also a symbol of national sovereignty and independence, can be challenging for bilateral donors and development partners. In many regions and countries, UNDP is often the lead or even the only development partner working in such politically sensitive spaces. In the Pacific context, the UNDP Pacific Office in Fiji is ideally placed to maximise opportunities for integration working across the Pacific region with bilateral and multilateral development partners and with ongoing UNDP initiatives to further promote inclusive and effective political participation in the Pacific. UNDP has been and will continue to play a key convening and coordination role with partners such as the New Zealand Parliament, the Inter-Parliamentary Union, the Commonwealth Parliamentary Association, Pacific Islands Forum Secretariat, and the Australian Federal and State legislatures, to ensure that assistance is delivered in a tailored, systematic, impartial and complementary manner, building on the results of the first phase of PPEI.

Besides the PPEI Phase I, the UNDP Pacific Office in Fiji is currently implementing three parliamentary development projects in the Pacific, including one being implemented at national level (Fiji Parliament Support Project Phase II) and two at the regional level: the “Strengthening Legislatures in the Pacific Island Countries” project, and the DFAT regional project covering all 15 PICs. In recent years, the UNDP Pacific Office in Fiji has worked with legislatures across the Pacific to provide high level specialised technical assistance to Parliaments. Through the DFAT regional parliamentary project, which is entering its final stage, it has also provided support for a range of governance related activities in countries where there are currently no major on-going UNDP Parliament projects (e.g. Nauru, Niue, Tokelau, Kiribati, Palau, etc.).

Parliamentary strengthening is a platform for sustainable development. UNDP together with its development partners and other agencies have the capacity and expertise to build up the capacities and knowledge of legislators around key issues of relevance to development and equality, including by facilitating expert trainings (run by UNDP in collaboration with other UN agencies or development partners) and helping legislators access information on development frameworks such as the Agenda 2030 and the Sustainable Development Goals, and technical expertise relevant to particular proposed laws being considered by Parliaments e.g. environment, violence against women, human rights implementation and gender equality.

The project falls directly within the priorities of UNDP’s new Strategic Plan 2018-2022 and responds to the Strategic Plan’s *Signature Solution 2: Strengthen effective, accountable and inclusive governance*<sup>9</sup>.

---

## **II. RESULTS AND PARTNERSHIPS**

The project’s outputs align with Outcome 5 of the United Nations Development Programme Sub-Regional Programme Document (SRPD) for the Pacific Islands Countries and Territories (2018-2022), and with its two outputs (one and two, below):

*By 2022, people and communities in the Pacific will contribute to and benefit from inclusive, informed, and transparent decision-making processes, accountable and responsive institutions, and improved access to justice.*

---

<sup>9</sup> <http://strategicplan.undp.org/>.

PPEI-Phase II will work towards the following key outputs and results:

**Output 1: Increased transparency and accountability in governance institutions and formal and informal decision-making processes,**

***Result 1.A: Members of Parliament are supported more effectively by the parliamentary secretariat through the provision of training and induction for first time members, research and briefing materials***

A number of elections are scheduled in the Pacific over the next four years, including in all five of the PPEI focus countries:

Likely timing of upcoming national elections in the Pacific			
2019	2020	2021	2022
Federated States of Micronesia, Solomon Islands, Tuvalu, Kiribati, Marshall Islands, Nauru	Vanuatu, Niue, Palau, Tokelau	Federated States of Micronesia, Tonga, Samoa	Fiji, Cook Islands, Papua New Guinea, Nauru

Elections will result in significant turnover of MPs, and effective induction will enable the new members to quickly understand and exercise their new role, to make use of the support available through the parliamentary administration, and to understand the development context.

Induction is the responsibility of each parliament and parliamentary leadership, however developing parliaments are frequently inexperienced in effective induction. The project will work with the parliaments in the five focus countries, and where requested in project-associated countries (such as Niue, Nauru, Tuvalu, Tokelau, Kiribati and Palau), to develop effective induction programming.

The induction programming will build on the methodology successfully applied in the ‘Pacific floating budget office’ approach of Phase 1, in which staff from the project focus countries will work together with the relevant parliament in development and implementation of induction.

This will foster sustainability, as staff from parliaments with upcoming elections will already have experience in induction planning and delivery, and will be able to apply those skills in organizing their parliament’s inductions.

Where possible, the inductions will be planned in collaboration with the New Zealand Parliament, and will engage other relevant institutions such as the Inter-Parliamentary Union, the Commonwealth Parliamentary Association, Pacific Parliamentary Partnerships, and the Australian Parliaments.

Beyond the induction processes, the project will work with each parliamentary administration to enhance the research and technical services provided to MPs in the six focus parliaments, as well as other parliaments in the region where requested and logistically feasible (for example through participation in capacity building activities already being planned with the focus parliaments). The strengthening of the research and technical capacity of parliaments will be based upon a needs assessment conducted with each parliament at the beginning of Phase II as part of development of a strategic development vision for each institution and its administration. Capacity enhancement will be delivered through targeted trainings as well as shared learning, building on the work of PPEI-Phase I, with engagement of the New Zealand parliament, twinned parliaments, and parliaments within the region.

**Result 1.B: Development of a participatory and transparent national planning and budget process; cross cutting development issues mainstreamed in Pacific Parliaments**

Public financial management remains a generally weak aspect of governance in the region, and is noted as a strategic priority for New Zealand’s development support in the region 2018-2022. Strengthening parliamentary capacity in budget scrutiny and oversight is an important leverage both for enhanced PFM and for enhanced governance transparency and anti-corruption. PPEI phase one successfully enabled improvements in the public financial management capacities of the five focus parliaments (with a particularly notable enhancement in Solomon Islands), both at the budget consideration and adoption phase, and in the accounting and audit phase, with the ‘Pacific floating budget office’ approach being a particular success. A similar process is being considered in 2019 in the Cook Islands, where the functioning of the Public Account Committee

has been already strengthened through the support provided by PPEI during Phase One.

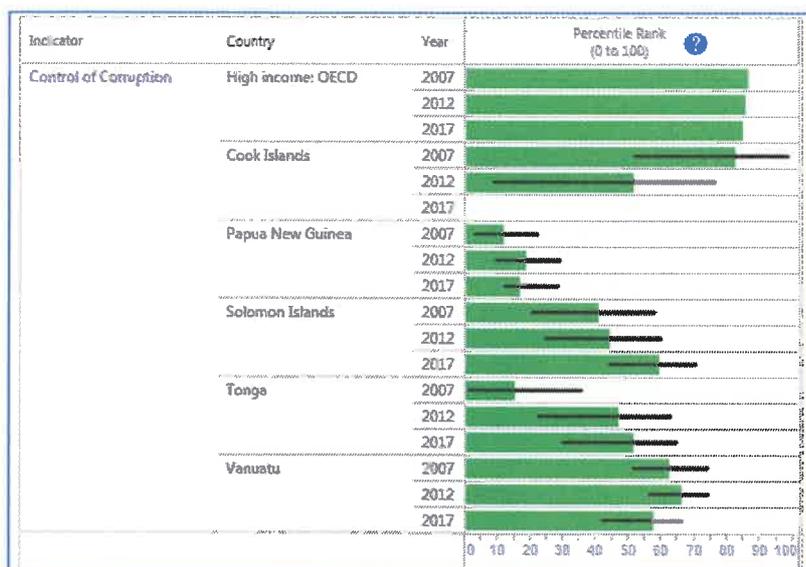


Figure 3: Control of corruption, 2007 - 2017 (World Governance Indicators)

Building on previous work with Public Accounts Committees (PAC), the project will actively engage with PACs to build the capacity of MPs to understand the role and the mandate of PACs, and offer technical advisory services to Parliament to increase transparency and accountability in public financial management.

The project will continue to collaborate with the Pacific Association of Supreme Audit Institutions (PASAI) in delivering

this support to PACs and in fostering better integration with the work of national Supreme Audit Institutions. It is also closely linked to support provided to increase capacities for development effectiveness because, as development partners increasingly provide direct budget support, the role of PACs is critical to reassuring partners that ODA is used efficiently and in line with agreed spending priorities.

As noted, PPEI Phase I introduced sustainable development goals to the five focus parliaments. This first step was then followed with a process of integrating development objectives into the work of parliamentary committees. For example, support to three parliamentary committees in Solomon Islands to address specific sustainable development challenges; support to Vanuatu and to Cook islands in integrating their national development plans into the budget oversight process; and support to Tonga in addressing sustainable agriculture issues through the parliament Agriculture Committee.

The project will provide high quality technical advice on various cross-cutting development issues to select Pacific Parliaments through briefings for MPs on key cross-cutting development issues, as well as training for parliament secretariats to increase their capacity to provide support to parliamentarians. Beyond the SDGs, specific or cross cutting issues mainstreamed in parliamentary work will include, but not be confined to, gender, disability, non-communicable diseases, and Climate Change. The support provided will be geared to enabling effective integration of development objectives as a committee oversight tool, through technical support to sectoral committees wishing to apply a development outcomes approach to their work.

Frequently, parliamentary effectiveness is hampered by inadequate or outdated parliamentary rules, management frameworks, and the need for prioritization of strategic vision. Each parliament will be supported in carrying out a needs assessment and developing a strategic vision which will

form the basis for project support. One particular issue in parliamentary effectiveness in several of the project countries is the inconsistent functioning of parliamentary committees, and focus will be paid to institutional strengthening to enhance committee work. Specialized advice on parliamentary rules and procedural reform will continue to be provided upon request, including from developed parliaments including New Zealand, and the project will again apply a preferred approach of regional sharing of best practices in relevant areas of parliamentary development.

PPEI Phase II will build on previous initiatives and existing networks; it will, among other aspects, work in collaboration with the New Zealand Parliament to support the revival of the network of Pacific Public Accounts Committees – “PANPAC” that was launched in 2015 through a collaboration between the New Zealand Parliament, the World Bank, the CPA Secretariat and UNDP.

**Output 2: increased voice and more inclusive participation by women, youth and marginalized groups in national and subnational decision-making bodies that are more representative**

***Result 2.A: Parliamentary outreach and citizen engagement expanded to include traditionally excluded groups, such as women and youth, and reach remote areas***

The modalities of the work on citizen engagement will be tailored to the specific context of each PPEI country. In collaboration with parliamentary leadership, the project will support development of an outreach plan for each parliament as part of its overall development strategy. The project will support organization of various public outreach activities to reach communities that might not otherwise have access to information about the Parliament’s activities, or be able to utilise opportunities for citizen engagement. The project will provide support to parliaments to identify beneficiaries and focus on traditionally excluded groups, such as women and youth, including for instance school visits and mock parliament sessions. This output has gender equality as a principal objective (UN gender marker GEN3). The specified target groups will be identified with the help of government and non-government organisations operating in the remote areas of the PPEI countries. Through providing information on the work of Parliament, these groups will be given the knowledge to eventually take part in parliamentary hearings and to provide input to parliamentary work, which in turn will foster greater interest in participation in politics.

To reach distant communities, the project will envision possible support to parliamentary outreach via traditional (i.e. radio) and new media (i.e. website, Facebook, smartphone apps) channels. In addition to strengthening the representation function of Parliament, the project will provide support to the parliaments to increase interaction of MPs with citizens and engagement of CSOs with the work of committees.

***Result 2.B: Capacity of potential women candidates increased through provision of training and capacity building activities***

The project will build on UNDP’s partnership with other development partners (PIFS, UNWomen, IPU, etc.) to build the capacity of potential women candidates through its regional practice parliament programme. Practice parliaments will be held across the Pacific in the lead-up to national and sub-national elections to train women leaders and potential women candidates on parliamentary processes and to help demystify the institution. These events will be implemented with numerous key actors at a national and sub-national level including the respective Ministries of Women, National and Sub-National Parliaments and CSOs; and in synergy with stand-alone project and activities in the Pacific region. Based on the learning from phase 1 of PPEI, particular efforts will be made to draw women participants in the practice parliaments from local leadership positions in civil society organizations including religious institutions, business associations etc.

### ***Result 2.C: Increased number of women candidates selected by political parties in selected Pacific countries***

The project will also expand its work with political parties, coalitions, leaders and elites to (i) increase commitment to gender equality and (ii) encourage nomination of more women candidates. Using the 2012 UNDP/NDI good practices guide *Empowering Women for Stronger Political Parties* as the basis for developing a program with political entities, the project will focus its work on countries in which political parties and coalitions play a significant role in the process of parliamentary elections.

As part of the recommendations from an internal Independent review report<sup>10</sup>, the project will collaborate with regional stakeholders such as PIFS, SPC-RRRT, and UN Women, as well as the relevant national stakeholders, in the provision of technical inputs into national policy development and/or legislative drafting, to implement TSM or other reforms to promote gender representation in national legislatures, as endorsed by Forum leaders and national governments, upon requested. Building on UNDP's work to support parliaments in the Pacific, the project will also support the role of parliamentary committees and women's caucuses (where they exist), or provide assistance in developing them, in order to progress gender equality outcomes in procedures, policy, legislation, and participation.

The project will work with organizations such as the Pacific Women's Parliamentary Partnerships (PWPP) to support regional approaches such as facilitating south-south exchanges of women leaders to facilitate the sharing of information throughout the Pacific. By adopting a multi-country approach and sharing experiences, lessons and methodologies it is expected to enable countries that may initially be reluctant to work on issues of women's political participation, to find more sensitive ways to engage and learn from other countries positive experiences. Women who may feel culturally and socially inhibited in their own societies may also find it easier to act in a leadership role through more neutral regional fora. This approach has proven successful in several multi-country research studies including those on political parties, gender in elected office, gender in public administration and local government, leading to the development of good practices founded on innovative and successful interventions on women's political participation in Asia-Pacific. Capturing best practices and information at the regional level and sharing it with other countries is best facilitated through a regional programme serving to share knowledge and best practice within the region.

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

The required project resources can be categorised into financial, technical, and managerial. The financial resources needed by the project have been indicated on the cover page of the Project Document. These resources will be used to procure the required technical and managerial services, such as mapped in the Multi-year Work Plan of the Project Document.

Resources in terms of staff time from the respective Parliament Secretariats as the main project stakeholders and the corporate support (financial management and management services, human resources, procurement management) of the UNDP Pacific Office in Fiji will also be required to achieve the expected outputs and outcomes of the project. These resources are embedded within the project activities and will be defined further in the Annual Work Plans during the project implementation.

Additional resources deriving from partnerships like for example the Pacific Parliamentary Partnerships programme, Inter-Parliamentary Union, Commonwealth Parliamentary Association, and United Nations sister agencies will also be sought as expert resources in ensuring that project results are based on cutting-edge knowledge and international best practices.

---

<sup>10</sup> "Options for promoting increased participation of women in Parliaments and in elected bodies at sub-national level in the Pacific Region 2014-2017" Prepared by Dr Lesley Clark, January 2014

## Partnerships

UNDP has a clear advantage to implement this project based on global technical expertise in the area of inclusive and effective democratic governance, which includes successful parliamentary development and strengthening projects globally and in the Pacific. UNDP is a global leader in parliamentary development, currently implementing projects and activities in over 75 countries globally to strengthen the capacity of Parliaments. In the Pacific, UNDP has been working with the Parliaments of Fiji, Solomon Islands, Tonga, Vanuatu, Nauru, Niue, Palau, Samoa, PNG, Cook Islands, Bougainville, Kiribati, FSM, Tuvalu and Marshall Islands to support their law-making, oversight and representative functions, as well as to strengthen the general capacity of Parliament Secretariats.

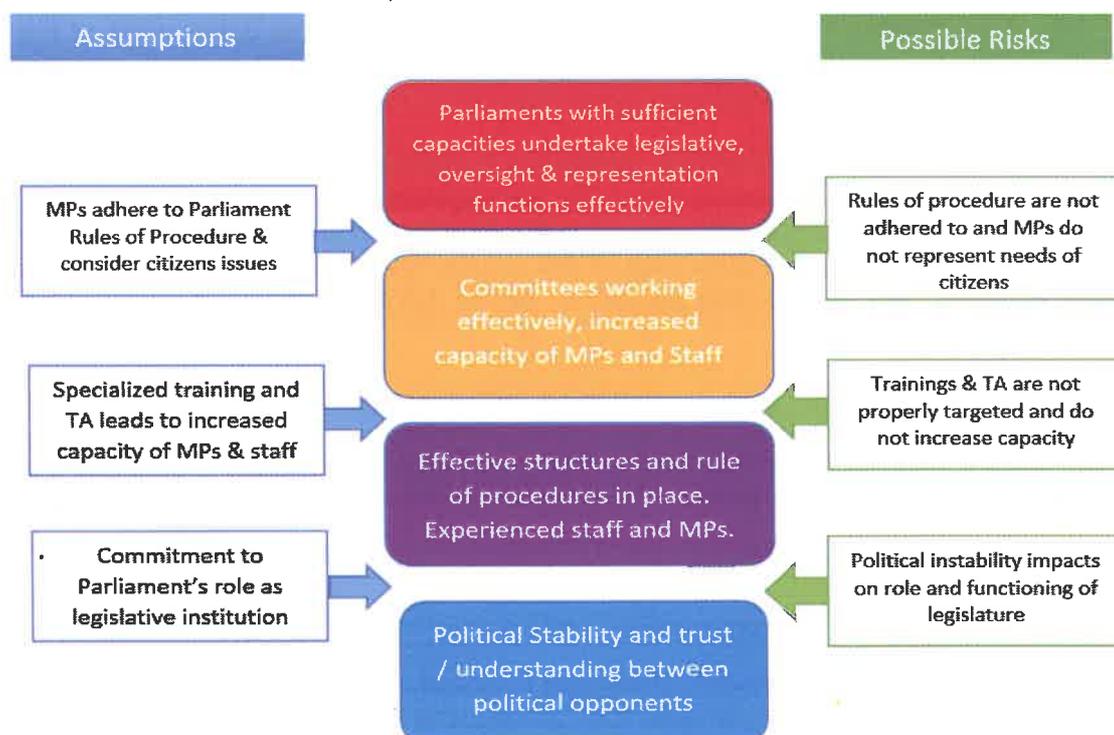
While implementing activities with Parliaments in the Pacific, UNDP through its multilateral and impartial credentials has been building a strong partnership with Pacific Parliaments. The partnership is grounded in strong relationships with the Speaker, Secretary General, Deputy Secretary General, Committee Chairs, Whips, MPs, and departmental staff.

In recent years, UNDP has been working with partners like the New Zealand Parliament and the Pacific Parliamentary Partnership (PPP) to mobilise expertise for Parliamentary development related activities and to host MP delegations and staff placements at affiliated Parliaments in New Zealand and Australia. Particularly, the New Zealand House of Representatives, the National Parliament of Australia and the State and Territory parliaments in Australia have been providing capacity building support at a fairly extensive rate.

There are few other development partners providing support to Parliaments in the Pacific. The Commonwealth Parliament Association (CPA) each year convenes Parliamentary Staff Development Workshops for parliamentary staff from across the Pacific. Further, the Inter-Parliamentary Union (IPU) occasionally delivers assistance to Pacific Parliaments and hold regional events in the Pacific.

The project will work closely with ongoing UN agency projects for example particular projects such as the UNDP / UNODC project on anti-corruption (UNPRAC) that has been working with Public Accounts Committees and parliamentarians in the region to increase financial transparency, as well as the newly launched UNDP Public Financial Management project. In addition, the project will collaborate closely with projects under the UNDP Resilience and Sustainable Development Team and the Inclusive Growth team to leverage expertise and information on key development issues.

## Risks and Assumptions



Project risks are comprehensively identified in the Risk Log attached. The project assumptions are detailed in the Strategy section of this Project Document.

In the development of the project strategy any potential environmental adverse impacts that could be caused by this project were considered and it was found that none of the anticipated activities to be conducted under this project are likely to cause any adverse impacts on the environment.

### ***Stakeholder Engagement***

The key stakeholders and at the same time main beneficiaries for the parliamentary strengthening component of the project are the Members and staff of the five Parliaments. During the formulation of this project, UNDP undertook consultations with a number of stakeholders to develop and refine this project.

### ***South-South and Triangular Cooperation (SSC/TrC)***

Continuing the excellent experience and approach being undertaken in the Pacific on South-South exchanges, the project activities' rationale are built on the premise of information sharing in the region and peer to peer exchanges and mentoring. The development of the "Pacific Floating Budget Office" by the UNDP Pacific Office in Fiji has been recently acclaimed as an innovative and successful practice of South South cooperation. Other examples of South-South activities in parliamentary development in recent years have included South-South exchange of female Secretary Generals from Parliaments in the Pacific (FSM, RMI, Tonga, Fiji, Cook Islands, Niue), workshop for Parliament whips from Fiji and Cook Islands, exchange of views and practice for the two only women Speakers in the Pacific (Cook Islands and Fiji), workshop on exchanges of practices for committee staff, technical cooperation on IT expertise and donations of equipments during the re-establishment of the Legislative of Tonga after its destruction during Tropical Cyclone Gita, etc. The project will expand its South-South and triangular cooperation with other Parliaments in the Asia-Pacific Region with similar parliamentary systems or with similar parliamentary development challenges, in order to further develop the two-way learning process.

Sustainability of the cooperation will be achieved through working in close cooperation with IPU, CPA, Asia Pacific Parliamentarians Forum (APPF), Asian Forum of Parliamentarians on Population and Development (AFPPD).

### ***Knowledge***

The project anticipates producing a number of knowledge products, including manuals and handbooks for MPs and staff.

The project will create visibility through preparing press releases about its public events and inviting local media. Information about the activities and achievements of the project will be placed on the Parliaments' websites and UNDP website. Visibility of the project will be increased further by the communication activities of project partners and donors. Lessons learned generated by the project will be included in the Lessons Learned Log and shared with parliamentary development partners globally through the UNDP learning platforms, the AGORA Portal for Parliamentary Development<sup>11</sup> and platforms of other partners working on parliamentary development (CPA, IPU, WfD, etc.).

### ***Sustainability and Scaling Up***

The project activities related to capacity building for MPs and staff are expected to also enhance the capabilities within the Corporate Divisions of the respective Parliaments, both to design, mobilise and offer periodic professional development opportunities, and to create the potential of retaining capacity within the Parliament Secretariats. The aim is that by the end of the project, the various Secretariat units and Parliament committees are sufficiently capacitated, so that support can slowly be phased out.

---

<sup>11</sup> The AGORA Portal can be accessed via: <http://www.agora-parl.org/>

The project is also fully aware that the challenge of working with Parliaments can be the turnover of MPs and retention of staff thus making sustainability a challenge. However, the project will implement a number of mitigating measures to try and ensure that the impact of the project activities will be felt beyond the lifespan of the project. This will include ensuring that appropriate emphasis is placed on reviewing and reforming parliamentary procedures that will then remain in place beyond 2020. Additionally, the project will ensure that knowledge and training products are developed as part of the capacity building activities with Members and staff to ensure that they will then benefit new Members and staff who receive training within the Parliament after the project has ended.

---

### **III. PROJECT MANAGEMENT**

#### ***Cost Efficiency and Effectiveness***

Cost efficiency and effectiveness in the project management will be achieved through adherence to the UNDP Programme and Operations Policies and Procedures (POPP) and reviewed regularly through the governance mechanism of the United Nations Development Assistance Framework (UNDAF) in the Pacific Annual Review and the Project Board. In addition, there are specific measures for ensuring cost-efficient use of resources through using a portfolio management approach. This approach by the UNDP Pacific Office in Fiji leverages activities and partnerships among a number initiatives and projects in the region. Applying this approach, the project will look to ensure synergies with UNDP anti-corruption project and public financial management projects as well as other relevant project.

As with UNDP's other work on parliamentary development in the region, the project is designed to deliver maximum project results with the available resources through ensuring the design is based on good practices and lessons learned, that activities are specific and clearly linked to the expected outputs, and that there is a sound results management and monitoring framework in place with indicators linked to the Theory of Change. The project aims to balance cost efficient implementation and best value for money with quality delivery and effectiveness of activities. For its capacity building activities, the project will utilise outside experts as well as in-house experts from within UNDP and UN sister organisations, and in-kind contributions from stakeholders.

#### ***Project Management***

As a regional parliamentary development project, the project will be directly implemented by the UNDP Effective Governance Team at the UNDP Pacific Office in Fiji. Technical experts with the expertise required for the various project activities will be recruited on a needs basis. The project's Multi-Year Work Plan provides all details of associated management expenses to be incurred over the project duration.

The project team for the direct implementation of the project will comprise of the personnel needed to effectively deliver the project.

The associated Direct Project Costing (DPC) that will be incurred by UNDP in providing project management and technical project implementation support is effectively indicated in the Multi-Year Work Plan.

The project's Multi-Year Work Plan also includes a General Management Support (GMS) charge that covers the costs for UNDP that are not directly attributable to specific projects or services, but are necessary to fund the corporate structure, management and oversight costs of UNDP as per global UNDP practices. The GMS is applied to all projects funded by either member governments at 3% for projects implemented directly in those member countries, and at 8% for contributions from other development partners for all projects that are implemented by UNDP around the world.

#### IV. RESULTS FRAMEWORK<sup>12</sup>

<p><b>Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:</b>  <b>United Nations outcome 5 involving UNDP:</b> By 2022, people and communities in the Pacific will contribute to and benefit from inclusive, informed and transparent decision-making processes, accountable and responsive institutions, and improved access to justice.</p>	
<p><b>Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:</b>  <b>Indicator:</b> Number of PICTs in which the proportion of seats held by women in national parliaments has increased, based on the latest available data</p>	
<p><b>Applicable Output(s) from the UNDP Strategic Plan:</b>  <b>Output 5.1. Increased voice and more inclusive participation by women, youth and marginalized groups in national and subnational</b></p>	
<p><b>Project title and Atlas Project Number:</b> Pacific Parliamentary Effectiveness Initiative (PPEI) Phase II , 00118639</p>	

EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>13</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS	
			Value	Year 2019	Year 1	Year 2	Year 3	Year 4	Year ...		FINAL

<sup>12</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

<sup>13</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

<p><b>Output 1</b>  <b>Increased transparency and accountability in governance institutions and formal and informal decision-making processes</b></p>	<p><b>1.1 IRRF Indicator: 2.1.1.b:</b>  Constitution-making body (Parliament) with improved administrative and human resources capacities to undertake drafting, public outreach and consultation and with mechanisms to ensure the participation of women and marginalized groups.  To be assessed on the following rating scale:  0=UNDP is not building capacity of Parliament  1=Capacity has not improved  2= Capacity very partially improved  3= Capacity partially improved  4= Capacity largely improved</p>	<p>Post capacity building and training workshop reports.  Evaluation and feedback sheets by participants of capacity building activities.  Monitoring and evaluation missions.  Reports by Parliament Secretariat and Committee work (consultation) reports.  Number of Committee meetings conducted.</p>	<p>Competency rating (qualitative indicator)</p>	<p>0</p>	<p>2</p>	<p>3</p>	<p>4</p>	<p>4</p>		<p>Project Team through data and information collection.  Technical specialists through training activities.</p>
<p><b>GEN 2</b></p>	<p><b>1.2 IRRF Indicator 2.1.1.:</b>  Parliament with improved administrative and human resources capacities to discharge its mandates in relation to law-making, oversight and representation.  To be assessed on the following rating scale:  0=UNDP is not building capacity of Parliament  1=Capacity has not improved  2= Capacity very partially improved  3= Capacity partially improved  4= Capacity largely improved</p>	<p>Post capacity building and training workshop reports.  Evaluation and feedback sheets by participants of capacity building activities.  Monitoring and evaluation missions.</p>	<p>Competency rating (qualitative indicator)</p>	<p>0</p>	<p>2</p>	<p>3</p>	<p>4</p>	<p>4</p>		<p>Project Team through data and information collection.  Technical specialists through training activities.</p>

<p><b>Output 2</b>  <b>Increased voice and more inclusive participation by women, youth and marginalized groups in national and subnational decision-making bodies that are more representative</b>  <b>GEN 3</b></p>	<p><b>2.1 IRRF Indicator 2.4.2:</b>  Country with strengthened environments for civic engagement, including legal/regulatory framework for civil society organizations to function in the public sphere and contribute to development, and effective mechanisms/platforms to engage civil society (with a focus on women, youth or excluded groups).  Degree of effectiveness should be scored using the following scale:  1=Low  2=Medium  3=High</p>	<p>Data from Parliamentary Secretariat.  Data from CSOs and NGO platforms or networks.  Project Activity Reports.  Media reports.</p>	<p>Effectiveness rating (qualitative indicator)</p>	<p>None</p>	<p>Low</p>	<p>Low</p>	<p>Medium</p>	<p>Medium</p>	<p>Project Team through data and information collection.  Technical specialists through training and outreach activities.</p>
---	--	---	---	-------------	------------	------------	---------------	---------------	---

## V. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:  
*[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	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, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
<b>Monitor and Manage Risk</b>	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 project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
<b>Learn</b>	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.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
<b>Annual Project Quality Assurance</b>	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.	Every 2 years	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		

<b>Project Report</b>	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)		
<b>Project Review</b>	The project falls under UNDP's Pacific regional programme and this will be the project's governance mechanism. In addition the project will also meet annually with the project donor and beneficiary parliaments, along with the New Zealand Parliament to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic implementation and budgeting over the life of the project.	Annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	

#### Evaluation Plan<sup>14</sup>

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Final Project Evaluation	N/A	TBC	Outcome 5	Early 2022	Project Beneficiaries Project donors	USD\$20,000 Project funds

<sup>14</sup> Optional, if needed

## VI. MULTI-YEAR WORK PLAN <sup>1516</sup>

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year					RESPONSIBLE PARTY	PLANNED BUDGET		
		2019 (May-Dec)	2020	2021	2022	2023 (Jan-Mar)		Funding Source	Budget Description	Amount
<b>Output 1: Increased transparency and accountability in governance institutions and formal and informal decision-making processes</b>	1.1 Provision of induction training for new MPs and ongoing professional development training for MPs, with a specific focus on women MPs	\$60,000	\$60,000	\$60,000	\$55,080		UNDP	NZ MFAT	Workshops/ Trainings Consultants Travel and DSA	\$235,080
	1.2 Support for Parliament Needs assessment & Strategic Plan development	\$35,000	\$50,000	\$50,000	\$35,000		UNDP	NZ MFAT	Workshops/ Trainings Consultants Travel and DSA Printing/Publication	\$170,000
	1.3 Training and capacity building for parliament staff	\$45,000	\$80,000	\$60,000	\$45,000	\$20,000	UNDP	NZ MFAT	Workshops/ Trainings Consultants Travel and DSA	\$250,000
	1.4 Support to the development of efficient and effective structures and working methods for parliamentary secretariats	\$45,000	\$60,000	\$53,000	\$45,000		UNDP	NZ MFAT	Workshops/ Trainings Consultants Travel and DSA	\$203,000

<sup>15</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>16</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

Output 2: Increased voice and more inclusive participation by women, youth and marginalized groups in national and subnational decision-making bodies that are more representative	1.5 TA and capacity building to increase parliament's role in budget cycle and financial oversight, and strengthen PAC	\$40,000	\$60,000	\$55,000	\$48,700		UNDP	NZ MFAT	Workshops/ Trainings Travel and DSA	\$203,700
	1.6 TA, workshops and training for Committees to mainstream development issues and to undertake legislative and scrutiny functions through a gender lens	\$45,000	\$70,000	\$55,000	\$50,000	\$30,000	UNDP	NZ MFAT	Workshops/ Trainings Consultants Travel and DSA	\$250,000
	1.7 TA and training to support institutional strengthening of committees, esp. of their oversight role	\$55,000	\$70,000	\$60,000	\$50,000		UNDP	NZ MFAT	Workshops/ Trainings Consultants Travel and DSA	\$235,000
	1.8 Training and provision of TA to improve and clarify parliamentary procedural issues	\$55,000	\$65,000	\$60,000	\$50,000		UNDP	NZ MFAT	Workshops/ Trainings Consultants	\$230,000
	1.9 Effective technical advisory services and project implementation including direct project costs	\$137,866	\$206,799	\$206,799	\$206,799	\$68,933	UNDP	NZ MFAT	Staff Personnel Operational costs and Service Charges	\$827,196
	<b>Sub-Total for Output 1</b>	<b>\$517,866</b>	<b>\$721,799</b>	<b>\$659,799</b>	<b>\$585,579</b>	<b>\$118,933</b>				<b>\$2,603,976</b>
	2.1 Support to development of parliament outreach and community engagement plans that include a focus on women and other traditionally excluded groups	\$60,000	\$90,000	\$70,000	\$60,000		UNDP	NZ MFAT	Material/ Printing Workshops/ Trainings Consultants Travel and DSA	\$280,000
	2.2 Support to parliament outreach activities through radio, TV, social media and new technologies, outreach missions	\$50,000	\$70,000	\$50,000	\$40,000		UNDP	NZ MFAT	Material/ Printing Workshops/ Trainings Consultants Travel and DSA	\$210,000

	2.3 Support for workshops and events that engage youth with the work of parliaments	\$50,000	\$60,000	\$50,000	\$40,000		UNDP	NZ MFAT	Material/ Printing Workshops/ Trainings Consultants Travel and DSA	\$200,000
	2.4 TA to committees to increase public engagement with their work	\$50,000	\$60,000	\$50,000	\$45,000		UNDP	NZ MFAT	Material/ Printing Workshops/ Trainings Consultants Travel and DSA	\$205,000
	2.5 Conduct practice parliaments and training workshops for women	\$50,000	\$60,000	\$50,000	\$45,000		UNDP	NZ MFAT	Material/ Printing Workshops/ Trainings Consultants Travel and DSA	\$205,000
	2.6 Training and TA to political parties to support gender mainstreaming and women's political participation	\$70,000	\$80,000	\$70,000	\$60,000		UNDP	NZ MFAT	Material/ Printing Workshops/ Trainings Consultants Travel and DSA	\$280,000
	2.7 Training and support for Women MPs through network and mentoring	\$44,942	\$60,000	\$50,000	\$45,000		UNDP	NZ MFAT	Workshops/ Trainings Consultants Travel and DSA	\$199,942
	2.8 Effective technical advisory services and project implementation including direct project costs	\$137,866	\$206,799	\$206,799	\$206,799	\$68,933	UNDP	NZ MFAT	Staff Personnel Operational costs and Service Charges	\$827,196
	<b>Sub-Total for Output 2</b>	<b>\$512,808</b>	<b>\$686,799</b>	<b>\$596,799</b>	<b>\$541,799</b>	<b>\$68,933</b>				<b>\$2,407,138</b>
	<b>TOTAL DIRECT COSTS</b>	<b>\$1,030,674</b>	<b>\$1,408,598</b>	<b>\$1,256,598</b>	<b>\$1,127,378</b>	<b>\$187,866</b>				<b>\$5,011,114</b>
Evaluation (as relevant)	Mid Term & End of project evaluation		\$30,000			\$30,000	UNDP			\$60,000
General Management Support (GMS)	8%	\$82,454	1,14,910	\$100,528	\$90,190	\$17,551				\$405,633
	<b>TOTAL</b>	<b>\$1,113,128</b>	<b>\$1,553,508</b>	<b>\$1,357,126</b>	<b>\$1,217,568</b>	<b>\$235,417</b>				<b>\$5,476,747</b>

---

## **VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS**

This project formally falls under the overall governance structure of the broader UNDP Asia-Pacific Regional Programme with details outlined below. UNDP will execute this regional project through the Direct Implementation Modality (DIM). While the project falls under the broader Asia-Pacific regional programme and its governance mechanism, the project will also meet annually with the project donor and beneficiary parliaments, along with the New Zealand Parliament to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic implementation and budgeting over the life of the project.

Whilst overall management oversight and accountability for the execution of the sub-Regional Programme Document sits under the Bureau for Asia and the Pacific (RBAP), the Bureau has delegated day-to-day management for its elements to the Pacific Office in Fiji, with a primary focus on programme countries in the Pacific and in partnerships with other relevant regional and sub-regional organisations such as the Pacific Islands Forum (PIF) and the Pacific Community (SPC).

### **Asia-Pacific Programme Outcome Board:**

The Asia-Pacific Regional Programme Outcome Board, comprising government representatives from across the Asia Pacific region, UNDP Country Directors and key stakeholders will function as the main oversight and accountability body<sup>17</sup> for both the Asia-Pacific Regional Programme, and the Pacific Sub-Regional Programme. It will provide substantive guidance and coordination and will meet annually. This will ensure the relevance of key regional products and services delivered under each outcome. Responsibility for organization of the Outcome Board and development of its Terms of Reference lies with the Chief of Regional Policy and Programme Support.

The Pacific membership of the Regional Programme Outcome Board will comprise a government representative from each of the three Pacific groupings of countries (Polynesia, Melanesia and Micronesia), a representative from regional organizations and a representative from non-state actors. A Pacific Caucus will meet at the margins of the Regional Programme Outcome Board Meeting to discuss Pacific sub-region-specific substantive and strategic matters.

Recommendations of the Outcome Board and Pacific Caucus will inform programme priorities.

### **Management Committee:**

For the Pacific sub-regional programme's implementation and operational issues, a Management Committee comprised of the Senior Management of Regional Bureau Asia Pacific, represented by Bangkok Regional Hub, and the Resident Representatives of three UNDP Offices in the Pacific, (Pacific Office in Fiji, Papua New Guinea Country Office, and Samoa Multi-Country Office) will meet annually in the Pacific.

A principle interest of the Management Committee is to ensure that the regional programme work plan is based on a comprehensive analysis and assessment of the development priorities in the Pacific, and that it is directed by clearly defined and measurable developments results and impacts that are accurately reported to RBAP and development partners.

The Management Committee is responsible for making, by consensus, management decisions for the programme when guidance is required by the project manager. This includes recommendations for approval of programme plans and revisions. Management Committee decisions are made in accordance with standards that shall ensure best value for money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the Management Committee Chairperson.

---

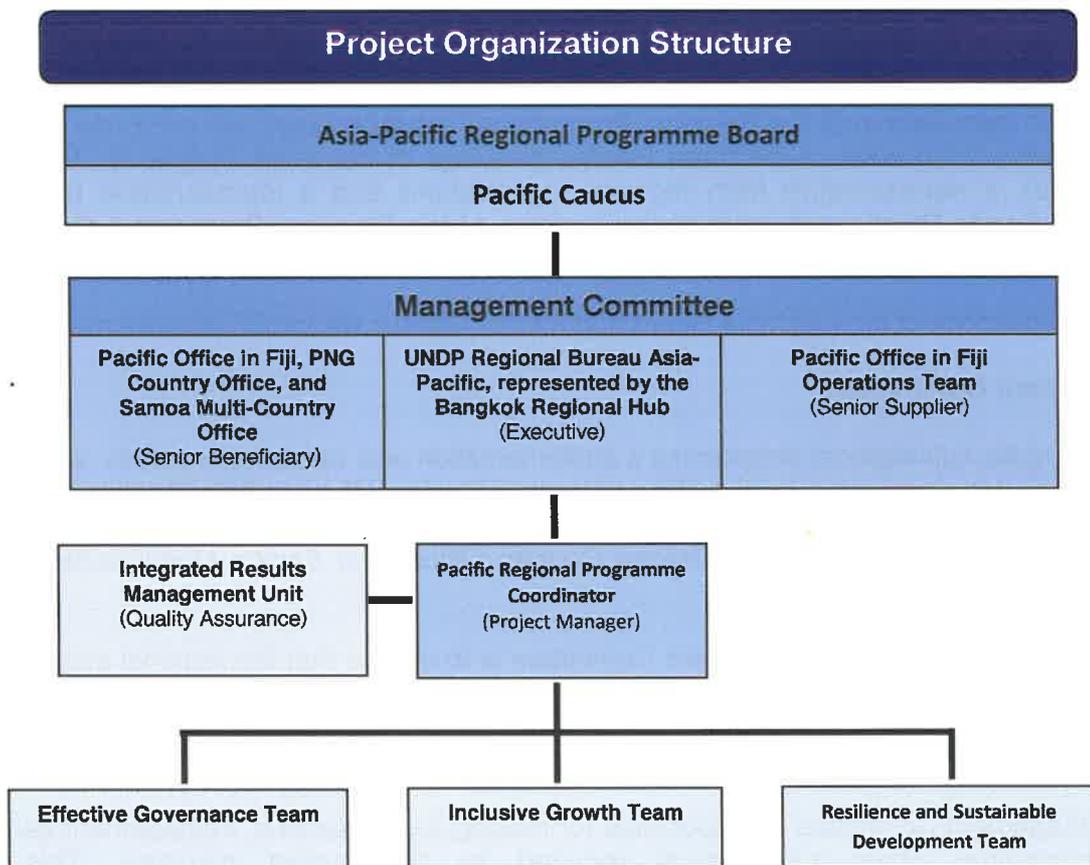
<sup>17</sup> The oversight functions of the Outcome Board follow the updated POPP guidelines.

Programme reviews by this Committee are made at designated decision points during the running of a programme, or as necessary when raised by the programme manager. The Committee is consulted by the programme manager for decisions when tolerances, normally in terms of time and budget, have been exceeded.

The Management Committee encompasses the following three roles:

- **Executive:** individual representing the project ownership to chair the group
- **Senior Supplier:** A group representing the interests of the parties concerned, which provides funding and/or technical expertise to the project. The Senior Supplier’s primary function within the Board is to provide guidance regarding the technical feasibility of the project’s initiatives.
- **Senior Beneficiary:** A group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary’s primary function within the Board is to ensure the realization of project results from the beneficiary’s perspective.

Specific responsibilities of the Management Committee will be outlined in its Terms of Reference, which will be approved by and revised by the Committee as needed throughout the duration of the project.



---

## VIII. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the [Supplemental Provisions](#) attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

---

## 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]<sup>18</sup> [UNDP funds received pursuant to the Project Document]<sup>19</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/ag\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/ag_sanctions_list.shtml). 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. 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.
6. 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 [*or the Supplemental Provisions to the Project Document*], 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 party's, 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 party's, 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 party's, subcontractor's and sub-recipient's obligations under this Project Document.

---

<sup>18</sup> To be used where UNDP is the Implementing Partner

<sup>19</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, 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 and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. 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 and (b) 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](http://www.undp.org).
- e. 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.
- f. 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 or corruption 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.

- g. 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 or corruption, 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 party's, subcontractor's or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the 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.

- h. 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.
- i. 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.
- j. 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.

---

## **ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Template**
- 3. Risk Analysis**

---

**ANNEX 1 – QUALITY ASSURANCE REPORT**

# PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

OVERALL PROJECT				
EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The Principled criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.
DECISION				
<ul style="list-style-type: none"> <li>• <b>APPROVE</b> – the project is of sufficient quality to be approved in its current form. Any management actions must be addressed in a timely manner.</li> <li>• <b>APPROVE WITH QUALIFICATIONS</b> – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.</li> <li>• <b>DISAPPROVE</b> – the project has significant issues that should prevent the project from being approved as drafted.</li> </ul>				
RATING CRITERIA				
For all questions, select the option that best reflects the project				
STRATEGIC				
<b>1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?</b> <ul style="list-style-type: none"> <li>• <b>3:</b> 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.</li> <li>• <b>2:</b> 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.</li> <li>• <b>1:</b> 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.</li> </ul> <p><i>*Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.</i></p>	3	2	1	
	<b>Evidence</b>			
	The Prodoc clearly outlines a Theory of Change that makes the linkage to PPEI Phase I (pages 6 and 7) and as well as SRPD theory theory of Change			
<b>2. Is the project aligned with the UNDP Strategic Plan?</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The project responds to at least one of the development settings as specified in the Strategic Plan<sup>1</sup> and adapts at least one Signature Solution<sup>2</sup>. The project's RRF includes all the relevant SP output indicators. <i>(all must be true)</i></li> <li>• <b>2:</b> The project responds to at least one of the development settings as specified in the Strategic Plan<sup>4</sup>. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true)</i></li> <li>• <b>1:</b> 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.</li> </ul>	3	2	1	
	<b>Evidence</b>			
	Yes. Page 1 –the prodoc is aligned to the SRPD (2018 – 2022) which is derived from UNDP's Strategic Plan			
<b>3. Is the project linked to the programme outputs? (i.e., UNDAF Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)</b>	Yes	No		

<sup>1</sup> The three development settings in UNDP's 2018-2021 Strategic Plan are: a) Eradicate poverty in all its forms and dimensions; b) Accelerate structural transformations for sustainable development; and c) Build resilience to shocks and crises

<sup>2</sup> The six Signature Solutions of UNDP's 2018-2021 Strategic Plan are: a) Keeping people out of poverty; b) Strengthen effective, inclusive and accountable governance; c) Enhance national prevention and recovery capacities for resilient societies; d) Promote nature based solutions for a sustainable planet; e) Close the energy gap; and f) Strengthen gender equality and the empowerment of women and girls.



RELEVANT		
<p><b>4. Does the project target groups left furthest behind?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The target groups are clearly specified, prioritising discriminated and marginalized groups left furthest behind, identified through a rigorous process based on evidence.</li> <li><b>2:</b> The target groups are clearly specified, prioritizing groups left furthest behind.</li> <li><b>1:</b> The target groups are not clearly specified.</li> </ul> <p><i>*Note: Management Action must be taken for a score of 1. Projects that build institutional capacity should still identify targeted groups to justify support</i></p>	<b>3</b>	<b>2</b>
	1	
	<p><b>Evidence</b></p> <p>Page 12 of Prodoc Output 2 is specifically on increased voice and more inclusive participation by women, youth and marginalized groups in national and sub-national decision making bodies. Additionally, the work of parliament committees, which is also a key focus of Phase II provides an avenue for MPs to engage directly with all citizens through different platforms like public consultations and public hearings etc..</p>	
<p><b>5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> 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.</li> <li><b>2:</b> The project design mentions knowledge and lessons learned backed by evidence/sources, but have not been used to justify the approach selected.</li> <li><b>1:</b> 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.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<b>3</b>	<b>2</b>
	1	
	<p><b>Evidence</b></p> <p>Page 4 and 5 of Prodoc PPEI II will build and further develop the work of PPEI I. Moreso, the results of the PPEI final evaluation informed the design of PPEI II prodoc.</p>	
<p><b>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?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> 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. <i>(all must be true)</i></li> <li><b>2:</b> 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.</li> <li><b>1:</b> 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.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<b>3</b>	<b>2</b>
	1	
	<p><b>Evidence</b></p> <p>PPEI Phase I Final Evaluation report – page 20-25</p> <p>All PPEI partner parliament were consulted during the final evaluation and provided feedback on the impacts of the activities and support. Additionally, they provided feedback on potential areas for support to their parliaments, if there were a Phase II.</p>	
PRINCIPLED		
<p><b>7. Does the project apply a human rights-based approach?</b></p> <ul style="list-style-type: none"> <li><b>3:</b> 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. <i>(all must be true)</i></li> <li><b>2:</b> The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts</li> </ul>	<b>3</b>	<b>2</b>
	1	
	<p><b>Evidence</b></p> <p>PPEI Phase II clearly recognizes the issue of human rights based approach. For example, the project design includes measures for increasing the meaningful participation of women in politics. Further, the project will enhance the capacity of parliamentary committees in their oversight roles to undertake</p>	



<p>on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. <i>(both must be true)</i></p> <ul style="list-style-type: none"> <li>• <b>1:</b> 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.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	<p>public consultations on bills and conduct hearings on different issues including reports etc. thereby considering the voices and views of citizens when making decisions.</p>	
<p><b>8. Does the project use gender analysis in the project design?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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. <i>(all must be true)</i></li> <li>• <b>2:</b> 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. <i>(all must be true)</i></li> <li>• <b>1:</b> 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.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p>3</p>	<p>2</p>
	<p>1</p>	
	<p><b>Evidence</b> <b>Prodoc 12-13</b></p>	
	<p>There is one output dedicated to inclusive participation by women and youth, based on PPEI final evaluation results.</p>	
<p><b>9. Did the project support the resilience and sustainability of societies and/or ecosystems?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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. <i>(all must be true)</i>.</li> <li>• <b>2:</b> 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. <i>(both must be true)</i></li> <li>• <b>1:</b> Sustainability and resilience dimensions and impacts were not adequately considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	<p>3</p>	<p>2</p>
	<p>1</p>	
	<p><b>Evidence</b></p>	
	<p>The Project's focus on increasing the effectiveness and capacity of national parliaments to engage with key development issues, contribute to the development of participatory and transparent national planning processes, and expand parliament outreach automatically contributes to reducing the risks in the given areas. The Project design does not have environmental risks envisioned as such</p>	
<p><b>10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?</b> The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>	<p>Yes</p>	<p>No</p>
	<p>YES</p>	
<p><b>MANAGEMENT &amp; MONITORING</b></p>		
<p><b>11. Does the project have a strong results framework?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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. <i>(all must be true)</i></li> </ul>	<p>3</p>	<p>2</p>
	<p>1</p>	
	<p><b>Evidence</b></p>	
	<p>YES refer to Prodoc page 17</p>	



<ul style="list-style-type: none"> <li>• <b>2:</b> 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. <i>(all must be true)</i></li> <li>• <b>1:</b> 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. <i>(if any is true)</i></li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>		
<p><b>12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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. <i>(all must be true).</i></li> <li>• <b>2:</b> 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. <i>(all must be true)</i></li> <li>• <b>1:</b> 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.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2
	1	
	<p><b>Evidence</b></p> <p>YES refer to Prodoc page 21</p>	
<p><b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Project risks related to the achievement of results are fully described in the project risk log, 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. Clear and complete plan in place to manage and mitigate each risk, reflected in project budgeting and monitoring plans. <i>(both must be true)</i></li> <li>• <b>2:</b> Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.</li> <li>• <b>1:</b> Some risks may be identified in the initial project risk log, 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 and/or no initial risk log is included with the project document.</li> </ul> <p>*Note: Management Action must be taken for a score of 1</p>	3	2
	1	
	<p><b>Evidence</b></p> <p>YES Refer to Prodoc page 14-15</p>	
<b>EFFICIENT</b>		
<p><b>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners; iv) sharing resources or coordinating delivery with other projects, v) using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.</b></p> <p><i>(Note: Evidence of at least one measure must be provided to answer yes for this question)</i></p>	Yes (3)	No (1)
	<p>As done in PPEI Phase I, joint activity implementation will be explored with other teams in the governance team</p>	



<p><b>15. Is the budget justified and supported with valid estimates?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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.</li> <li>• <b>2:</b> 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.</li> <li>• <b>1:</b> The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.</li> </ul>	<p style="text-align: center;"><b>3</b></p>	<p style="text-align: center;"><b>2</b></p>
1		
<b>Evidence</b>		
<p>Learning from the budget experience of PPEI Phase I, and benchmarking against other regional parliamentary development projects, costs are supported with valid estimates. Operational costs have been estimated for example for M&amp;E, security etc. Similarly cost implications from inflation and foreign exchange exposure have been estimated.</p>		
<p><b>16. Is the Country Office/Regional Hub/Global Project fully recovering the costs involved with project implementation?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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.)</li> <li>• <b>2:</b> The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> <li>• <b>1:</b> The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.</li> </ul> <p><i>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</i></p>	<p style="text-align: center;"><b>3</b></p>	<p style="text-align: center;"><b>2</b></p>
1		
<b>Evidence</b>		
Refer to Prodoc Budget		
<b>EFFECTIVE</b>		
<p><b>17. Have targeted groups been engaged in the design of the project?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that all targeted groups, prioritising discriminated 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.)</li> <li>• <b>2:</b> Some evidence that key targeted groups have been consulted in the design of the project.</li> <li>• <b>1:</b> No evidence of engagement with targeted groups during project design.</li> </ul>	<p style="text-align: center;"><b>3</b></p>	<p style="text-align: center;"><b>2</b></p>
1		
<b>Evidence</b>		
Prodoc Page 14-15		
<p><b>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?</b></p>	<p style="text-align: center;"><b>Yes</b> (3)</p>	<p style="text-align: center;"><b>No</b> (1)</p>
<p><b>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.</b></p> <p><i>*Note: Management Action or strong management justification must be given for a score of "no"</i></p>	<p style="text-align: center;"><b>Yes</b> (3)</p>	<p style="text-align: center;"><b>No</b> (1)</p>
<b>Evidence</b>		



## SUSTAINABILITY & NATIONAL OWNERSHIP

<p><b>20. Have national/regional/global partners led, or proactively engaged in, the design of the project?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>• <b>2:</b> The project has been developed by UNDP in close consultation with national/regional/global partners.</li> <li>• <b>1:</b> The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul>	3	2
	1	
	<p style="text-align: center;"><b>Evidence</b></p> <p>Please see PPEI Phase I Final Evaluation and Prodoc - national partners were consulted and their views sought. These reactions have been integrated in Prodoc. Similarly, national and global partners like CPA and IPU who provided instrumental support in Phase I will continue to assist Phase II. (Page 13-15 of Prodoc)</p>	
<p><b>21. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> 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.</li> <li>• <b>2:</b> 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.</li> <li>• <b>1:</b> Capacity assessments have not been carried out.</li> </ul>	3	2
	1	
	<p style="text-align: center;"><b>Evidence</b></p>	
<p><b>22. 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?</b></p>	Yes (3)	No (1)
<p><b>23. 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)?</b></p>	Yes (3)	No (1)



## ANNEX 2 . SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

### Project Information

<b>Project Information</b>	
1. Project Title	PACIFIC PARLIAMENTARY EFFECTIVENESS INITIATIVE (PPEI) PHASE II
2. Project Number	
3. Location (Global/Region/Country)	REGIONAL

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

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

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

A major focus of PPEI Phase II is contributing to the development of participatory and transparent national planning processes and expanding parliamentary outreach and citizen engagement to include traditionally excluded groups such as women and youth, and increase the political participation of women etc. To this end, the project automatically supports furthering of human rights in the target countries.

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

As mentioned above, Output 2 includes measures for increasing the meaningful participation of women in politics, it is about the inclusive participation by women, youth and other marginalized groups in national and subnational decision-making bodies that are more representative. Similarly, the project will enhance Members of Parliament understanding and knowledge about gender equality issues through trainings and activities related to SDGs/key development issues.

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

The Project's focus strengthening the capacity and effectiveness of legislatures, developing participatory and transparent national planning processes, expanding parliamentary outreach and citizen engagement to include traditionally excluded groups automatically contributes to reducing the risks in the given areas. The Project design does not have environmental risks envisioned as such. However, the project will offer trainings and TA to parliaments on key development issues like poverty reduction and economic growth, disaster risk resilience, actions to combat climate change and its impacts, low value minerals etc.

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

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b></p> <p><i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b></p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>	<p><b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b></p>		
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b>
Risk 1: ....	I = P =			
Risk 2 ....	I = P =			
Risk 3: ....	I = P =			
Risk 4: ....	I = P =			
[add additional rows as needed]				
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
<b>Select one (see <a href="#">SESP</a> for guidance)</b>			<b>Comments</b>	
<i>Low Risk</i>			<input checked="" type="checkbox"/>	
<i>Moderate Risk</i>			<input type="checkbox"/>	
<i>High Risk</i>			<input type="checkbox"/>	
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>				
<b>Check all that apply</b>				<b>Comments</b>
<i>Principle 1: Human Rights</i>			<input checked="" type="checkbox"/>	
<i>Principle 2: Gender Equality and</i>			<input checked="" type="checkbox"/>	

	<i>Women's Empowerment</i>		
	1. <i>Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	
	2. <i>Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
	3. <i>Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>	
	4. <i>Cultural Heritage</i>	<input type="checkbox"/>	
	5. <i>Displacement and Resettlement</i>	<input type="checkbox"/>	
	6. <i>Indigenous Peoples</i>	<input type="checkbox"/>	
	7. <i>Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	

### Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		
<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No)</b>
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>20</sup>	
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	
<b>Principle 2: Gender Equality and Women’s Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	
3.	Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	
4.	Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	

<sup>20</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>	
1.1	<p>Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?</p> <p><i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i></p>
1.2	<p>Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</p>
1.3	<p>Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)</p>
1.4	<p>Would Project activities pose risks to endangered species?</p>
1.5	<p>Would the Project pose a risk of introducing invasive alien species?</p>
1.6	<p>Does the Project involve harvesting of natural forests, plantation development, or reforestation?</p>
1.7	<p>Does the Project involve the production and/or harvesting of fish populations or other aquatic species?</p>
1.8	<p>Does the Project involve significant extraction, diversion or containment of surface or ground water?</p> <p><i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i></p>
1.9	<p>Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)</p>
1.10	<p>Would the Project generate potential adverse transboundary or global environmental concerns?</p>
1.11	<p>Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?</p> <p><i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i></p>

<b>Standard 2: Climate Change Mitigation and Adaptation</b>	
2.1	Will the proposed Project result in significant <sup>21</sup> greenhouse gas emissions or may exacerbate climate change?
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>
<b>Standard 3: Community Health, Safety and Working Conditions</b>	
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?
<b>Standard 4: Cultural Heritage</b>	
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)

<sup>21</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	
5.3	Is there a risk that the Project would lead to forced evictions? <sup>22</sup>	
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	
6.3	<p>Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?</p> <p><i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i></p>	
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples,	

<sup>22</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

including through the commercialization or use of their traditional knowledge and practices?	
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>	
7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	
7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	
7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	
7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	
7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	

### ANNEX 3 . PROJECT RISK LOG

<b>Project Title:</b> Pacific Parliamentary Effectiveness Initiative II	<b>Project No:</b> 00118639	<b>Date:</b> April 2019
---	-----------------------------	-------------------------

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Political and organisational environment impacts on project implementation through events, such as political tension, suspension of Parliament, change of government after elections, or leadership change in Parliament (Speaker) and Secretariat (Secretary General).	April 2019	Political Organisational	Probability - 3 Impact - 3	Build trust through continuous dialogue with Parliament, in order to retain flexibility and strong stakeholder ownership.  Build formal and informal networks with a broad spectrum of champions across and within project stakeholders, including political parties and NGOs.  Flexibility of regional project allows project to focus on activities in other countries until political issues are resolved.	UNDP	Project Manager		New / Monitoring
2	Challenges within Parliament and Secretariat to implement and participate in project activities such as absorptive capacity to adopt change or resistance to reform.	April 2019	Operational Organisational	Probability - 2 Impact - 2	Careful and pragmatic prioritisation, planning and sequencing of project activities together with stakeholders to achieve that: project activities are reflected in stakeholders annual plans, potential challenges and mitigation strategies are identified early, that change leaders are identified early, that over ambitious scheduling is avoided.	UNDP	Project Manager		New / Monitoring



5	Natural disasters that impact directly on stakeholder priorities and ability to implement and participate in activities under the project.	April 2019	Environmental	Probability - 2 Impact - 2	Ensure flexible schedule for activity implementation to minimise potential impact on outputs and ensure sequenced and timely implementation of project activities, with adjustments made where necessary. Regional project allows flexibility on country focused implementation.	UNDP	Project Manager		New / Monitoring
6	Staff required by Project not in place to assist in implementation of the project within tight timeframes	April 2019	Operational	Probability - 2 Impact - 3	There are some UNDP staff currently in place to allow for a seamless transition. Additional capacities required by the project will be identified within UNDP and short term Consultants will be recruited to assist with the implementation until the additional staff are recruited.	UNDP	Project Manager		New / Monitoring

