UNITED NATIONS DEVELOPMENT PROGRAMME

PROJECT DOCUMENT
[Republic of Kazakhstan]

Project Title: Capacity Building for Innovation in Governance and Digitalisation of Public Services
Project Number: 00127858
Implementing Partner: United Nations Development Programme
Start Date: 17 September 2021   **End Date:** 31/12/2023   **LPAC Meeting date:** 24/08/2021

Brief Description
This project aspires to build the capacity of civil servants to innovate in governance matters and for delivering digitalised public services through differentiated channels of delivery. Similarly, it expects to promote the introduction of innovative practices in governance and the provision of digital public services through differentiated channels of delivery. Its overall aim is to contribute towards improving the quality of life for citizens in the participating countries from Central Asia – Kazakhstan, Kyrgyzstan, Tajikistan, and Uzbekistan – and from the Caucasus – Armenia, Azerbaijan, and Georgia.
The seven target countries of this project have already taken some steps towards digitalisation of their operational processes and for the delivery of public services to business and citizens in a varying degree and progress. Several of them have also started incorporating the notion of governance innovation in their strategies for development, although there is still much to be done in order to put the concept into practice in the public sector.
Towards addressing these concerns, the UNDP together with MOIS have initiated this project to adopt good practices in governance innovation and for the introduction of differentiated modalities in public service delivery through digital channels. In other words, the project expects to enhance the knowledge of public officials in the participating countries on the concept and practice of innovation in government and on digitalisation processes in public service delivery, as well as to enhance their capacity to introduce innovative practices and provide digitalised public services delivered through differentiated channels of delivery.

Contributing Outcome (UNSDF/CPD) 2021-2025: By 2025, state institutions at all levels effectively design and implement gender-sensitive, human-rights and evidence-based public policies and provide quality services in an inclusive, transparent, and accountable manner (2.2). **Gender Marker**: GEN 2	**Total resources required (USD):**		1,093,400
	Total resources allocated (USD):		1,093,400
		Donor: Government of Korea	994,000[1]
		UNDP parallel contribution:	99,400

Agreed by:

Implementing Partner / UNDP
Yakup Beris, Resident Representative   *Yakup Beris*
Date: 22-Sep-2021

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[1] This amount is inclusive of the UN Coordination Levy (1%) - (USD 9,841.58).

I. DEVELOPMENT CHALLENGE

The seven target countries – participating in this development project - have already taken some steps towards digitalisation of their operational processes and for the delivery of public services to business and citizens in a varying degree and progress. Furthermore, some of them have also started incorporating the notion of innovation in governance in the strategies for development. However, there is still much to be done in order to put the concept into practice in the functioning of the public sector; as well as to move towards provision of digitalised public services through the use of differentiated channels of delivery.

Kazakhstan launched its first pilot one-stop-shop in 2005 and its e-government portal in 2016. Nowadays, the "Kazakhstan e-gov portal" is the main channel for providing public services; nearly 30 million services provided in 2018 to 8.5 million users.[2] The current policy programme "Digital Kazakhstan 2016-2020" aims at further development of digitalisation by 2022. It focuses on such areas as transition to a digital state, creation of an innovative ecosystem, implementation of the digital "Silk Road", and human capital development in digitalisation and innovation. The target is to provide 80 percent of all public services electronically within the next three years and completely transition administrative proceedings and transactions through electronic means only.

Kyrgyzstan, with its "Digital Development Assessment" study has initiated the establishment of the crucial foundations, and the adoption of the essential legislative and regulatory framework, for digitalisation.[3] However, further progress may be undermined by the lack of sufficient ICT knowledge and expertise among government officials, especially those operating at the strategic level of government. At the same time, many digital development initiatives and projects are implemented isolated by different ministries and agencies, which require stronger coordination and close alignment with the strategic goals of the country. Kyrgyzstan does not fare well in promoting innovation, both in the private and the public sectors. Thus, for a successful implementation of the innovation and digitalisation policy agenda, there will be a need for continuous commitment from political leaders and high-level government officials, along with the adoption of a comprehensive strategy with adequate funding and clearly specified roles and responsibilities of all stakeholders involved.

Tajikistan, in 2011 adopted the Decree "On the Concept of Electronic Government Development". The Concept was to provide new means of providing information and public services to citizens and businesses, as well among the different government departments and agencies through the Internet, aspiring to minimise physical interaction between government and individuals. The Concept was to be implemented by 2020. However, despite certain attainments, e.g., business registration, e-tax reporting and e-customs declaration systems, the full spectrum of the Concept's objectives have not yet been achieved.[4] One of the hurdles presenting a challenge for the development of electronic governance is lack of widespread access to the Internet in the country.[5] To this end, work is in progress through the World Bank regional programme "Digital CASA" (DCASA).[6] However, while digital transformation of the country is a high priority and an important building bloc in the country's National Development Strategy 2030, projects are often implemented with an insufficient legal

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[2] The country ranks 39th out of 183 countries in the UN E-Government Development Index 2018.

[3] http://www.ict.gov.kg/uploads/ckfinder/files/KG_Digital%20Development%20Assessment_Final.pdf, a study supported by the World Bank Global Smart Nations Programme and funded by the Korean Trust Fund.

[4] The country ranks 122nd out of 183 countries in the UN E-Government Development Index 2018.

[5] Out of more than 6.2 million mobile telephony subscribers, only 2.5 million people use the Internet. Communication Service of the Government of Tajikistan; https://rus.ozodi.org/a/30003181.html

[6] http://ict.gov.kg/index.php?r=site%2Fproject&pid=69&cid=25. This programme is a regional integration development initiative that aims at digitally integrating the landlocked countries of Central Asia, and some other countries of South Asia into the regional and global economies, in order to assist them in reaping digital dividends in the near future.

framework in place, and local human capacity that needs to be improved in order to ensure efficient policy implementation.[7]

Uzbekistan initiated a massive reform in public administration and capacity building of public servants in 2016. A major step towards improved public service delivery was the launch of a Single Portal of Interactive State Services, in 2017, with 40 online services provided initially. In 2018, the number of public services provided online exceeded 290, with over two million applications received through this Portal. However, despite these positive developments, key challenges remain in public service provision. As only 44 per cent of households enjoy the use of a computer and only 3 million people – less than 10 percent of the country's population – are connected to the Internet, it is clear that emphasis should be placed on the development of one-stop-shops for public service delivery to satisfy the needs of the population, particularly in remote and rural areas, with no access to the Internet or to a computer, besides pursuing the digital path of public service provision, which will also yield significant results in the future.

One of Armenia's "Government Development Programme 2017-2022" main priorities are the digitalisation of the state government and local self-government systems. This entails the introduction and enhancement of information collection, exchange and analysis systems and the provision of digital public services to citizens and businesses. Many public services are already provided online by state and local government organisations. However, for this process to continue unhindered, some analysts suggest the creation of a dedicated government agency, whose mandate would be to streamline the provision of e-services and thus eliminate duplication or inefficient delivery of services.[8]

Azerbaijan successfully operates a one-stop-shop model of public service delivery – the ASAN Service – since September 2012. The ASAN delivers public services to all residents around the country either through physical centres or mobile units. The Service has managed to establish a system, which invalidates a priori any conditions that may be conducive to corrupt practices and red tape. It unites, under its umbrella, 230 public services of ten ministries and 25 business entities, thus exemplifying the benefits of public-private partnerships in public service delivery. The Service enjoys a high customer satisfaction rate among its over one million users.[9]

Following the Rose Revolution in early 2004, Georgia reorganised rapidly its public sector in order to increase its efficiency and effectiveness. In June 2004, the National Agency for Public Registers (NAPR) was established. The Agency's objectives were the provision of electronic services for business and real estate registration, and provision of information, as well as many different documents in electronic format. Subsequently, the Data Exchange Agency (DEA) and the Houses of Justice were established with the mandate to develop an e-government system and to create an advanced electronic communication and data exchange network among ministries and agencies, as well as to delineate the necessary ICT requirements and standards and to develop uniform electronic documents workflow rules.[10] An important step towards the development of e-government was the

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[7] https://www.osce.org/secretariat/392687?download=true

[8] Currently, most e-services have been developed in a decentralised manner by various state agencies and organisations, thus they are in need of standardisation and streamlining; https://armenianweekly.com/2019/05/01/the-armenian-governments-struggle-to-build-a-unified-digital-identity/

[9] The ASAN portal also allows for the provision of e-services to foreign citizens. Azerbaijan is the second country after Estonia, to have launched an e-Residency Programme, affording international entrepreneurs the capability to manage a location-independent business and have full access to cross-border e-services available through Azerbaijan's Digital Trade Hub. Becoming an e-resident of Azerbaijan allows users to acquire a secure, government-verified electronic identity, accompanied by a chip-enabled identification card.

[10] The Houses of Justice were established primarily for convenience of the population, during the transition from traditional public administration to the development of the e-government system. They were also helpful for those members of the population, who did not have Internet access, mostly in rural and remote areas. In this context, many Houses of Justice were established in the regions. The range of services offered is very wide and it includes such services as legal entity

introduction of a digitally-based ID card system. Another important step was the introduction of an electronic procurement platform in 2010, eliminating the previously existing problematic procurement processes.[11]

The very brief description of the progress each of the participating counties has made, in introducing innovative practices and providing public services digitally, also reveals the challenges ahead for each one of them in making further progress in the areas of governance innovation and digital delivery of public services through differentiated channels. Some are still at a nascent state of development, just beginning to develop the necessary legislative framework within which the practical manifestation of such schemes and systems will be implemented. Some others are well advanced and in the process of moving on to the next stage of providing public services digitally through differentiated channels of delivery. And some others are between or having advanced on some aspects of digital delivery of public services but not in others. Thus, activities envisioned for this project will facilitate the exchange of information and knowledge among these countries and with the Republic of Korea in pursuing their objectives for the introduction of innovative practices in government and for the delivery of digital public services through differentiated channels of delivery.

In other words, this project aspires to contribute towards improving the quality of life for the citizens of the participating countries through the introduction of innovative practices in governance and widespread digitalisation of public services. Furthermore, by bringing together all relevant stakeholders from each of the participating countries in this project, as well as from each of the participating organisations in the Peer-to-Peer Alliances on "transformation and innovation in governance", "e-government development", and "public service delivery", and Korean experts from the National Information Agency, it hopes to exchange and share information and knowledge on governance innovation and digital provision of public services that will be useful for the future development of the participating countries in the said areas.

II.   STRATEGY

The United Nations E-Government Survey (2018) notes that proper exploitation of digital government has far reaching promising potential for countries around the world not just in improving institutional processes and workflows to achieve greater effectiveness and efficiency levels of public service delivery, but also in ensuring inclusion, participation, and accountability to leave no one behind. This vision is also congruent with the 2030 Agenda for Sustainable Development advocating those technologies must be used innovatively in ensuring that the Sustainable Development Goals are met on time. Conversely OECD Public Governance Reviews (2009, 2018) note that although certain progress has been made towards the establishment of a professional and strategic civil service, there is still much to be done in the direction of establishing an innovative public service.

The underlying theory of change for this project is that achieving inclusive growth requires the participation of human capital that is empowered with knowledge and skills to contribute to inclusive growth that is based, among other, on achievement of gender equality and women's empowerment and improved access to public services. Achieving inclusive growth also requires inclusive institutions and a professional civil service in place to create an enabling environment to improve the lives of people. In this context, utilisation of tools and approaches that will enable governments to introduce innovative practices in their operations and to improve provision of public services through differentiated channels of delivery will certainly contribute to improving the well-being of citizens in a country.

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registration, vehicle registration, fine payment, real estate transaction registration, etc.

[11] The country ranks 60th out of 183 countries in the UN E-Government Development Index 2018.

In order to achieve such objectives human capital development is needed to upgrade, improve and/or transform the skills and productive capacities in employing innovative practices and improving the quality of public services provision. For this purpose, UNDP will utilise its ACSH development platform and in particular its P2P Alliances on "transformation and innovation in governance", "e-government development", and "public service delivery" to transfer knowledge and experience in applying innovation and testing solutions and to support acceleration of the intended transformation. Together with MOIS and the National Information Society Agency (NIA), UNDP and ACSH will test new approaches in innovative practices in government and in the provision of public services through differentiated channels of delivery to inform policy makers. Utilising the ACSH's P2P Alliances will also facilitate the efforts for the digitalisation of public services striving for efficient and participatory public service delivery in the participating countries.

Experience demonstrates that such knowledge and experience sharing has led to policy improvements in many countries as they learn from each other's experience and each other's challenges. As the preliminary situation analysis has shown the countries participating in this project are at different stages of development with respect to introducing innovation in government and to digitalising the provision of their public services or providing them through differentiated channels of delivery. Thus, the systematic organisation and prioritisation of knowledge and experience on innovation and digitalisation of public services among the participating countries will yield great benefits for all.

In this context, therefore, the project aspires to bring together government officials and experts from the participating countries to share experience and knowledge on the subject matter, as well as to expose them to practices of other countries that have made a head start in both areas, such as Korea. This networking and exchange of ideas, experience, knowledge, and practices will enable countries to devise more resilient policies, as well as to enable easier and faster delivery of public services to their populations, ensuring that their needs are satisfied, and the quality of their lives is improved.

Such actions, in turn, will contribute to enhancing trust between citizens and the State and reducing corruption. It will also help addressing the needs of the vulnerable and prepare institutions to be more resilient to external shocks like COVID-19.

The Project strategy is based on the premise that for governments to cope with contemporary pressing issues that are faced with, they need to employ innovative solutions in their operation as well as in policy implementation, especially in the provision of public services to their citizens and residents utilising a range of differentiated channels of delivery, including digitalisation of services. In this context, the project activities focus on the introduction of innovation practices and methods in government and the provision of public services through differentiated channels of delivery, depending on the level of capacity each country possesses. Thus, the Project has two main outputs: (a) capacity building activities and (b) study visits to Korea.

III.   RESULTS AND PARTNERSHIPS

Project Outputs and Activities

The first output includes the implementation of activities aimed at providing capacity building to government officials and executives of central and local government administration and agencies, special bodies and institutions, experts and policy makers in innovation policies and practices and in the provision of public services through differentiated channels of delivery including digitally.

The first activity under this output is to conduct a ***feasibility study*** to assess the degree of readiness of each country in introducing innovation in government operations and policy implementation and in the provision of public services utilising differentiated channels of delivery. The study will entail a comprehensive analysis of where each country stands with respect to innovation, e.g., familiarity with the concept, degree of penetration in government operations, good innovative practices in place,

etc. Equally, the study will entail a comprehensive analysis of public service provision and channels of delivery in each country, e.g., existence of one-stop-centres, degree of digitalisation of public services, channels of delivery, future plans, etc. The expected results of this study will allow for a clear understanding of the needs for each country with respect to adapting innovative practices and providing public services through differentiated channels of delivery that suits each one of them best.

The results of the feasibility study will be presented and discussed during a ***regional conference*** – the second activity under this output planned to take place about a month after following the completion of the feasibility study – in order to decide the content, scope and expected results of the seminars and workshops, as well as of the study visits to Korea. Representatives of the seven participating countries, members of the relevant ACSH P2P Alliances, Korean experts from MOIS and NIA, representatives of the Oslo Governance Centre (OGC) and the OECD Effective Institutions Platform (EIP) will attend this conference in order to agree on the course of action with respect to the seminar and workshop-type activities to follow.

The third activity of this output is the organisation of a series of ***seminars*** to introduce, elaborate and discuss the concept of innovation and its potential utilisation in government operations and practices, as well as a series of seminars that will elaborate upon the provision of public services through differentiated channels of delivery. Such seminars may be implemented either with physical presence of participants or through a series of virtual events. Representatives of the seven participating countries, members of the relevant ACSH P2P Alliances and Korean experts from MOIS and NIA, along with experts on innovation and public service delivery will be part of these seminars.

The fourth activity under this output consists of a series of ***workshops*** that will present and elaborate on policy design to create an environment conducive to innovation practices, as well as on issues that governments need to pay attention to when they decide to provide public services through different channels of delivery. Such workshops will be attended by government representatives from the seven participating countries, who are involved in policy design on innovation and public service delivery. ACSH P2P Alliances members will facilitate the workshops along with experts from Korea. It is envisioned that workshop will take place during the second and third year of the project implementation period.

To sustain capacity building efforts this output envisions two more activities. First, the production and distribution of ***methodological guides*** on how to introduce innovative practices in government, and how to proceed on deciding what channels of delivery may be most suitable for the provision of various public services. For this purpose, the ACSH will engage experts, who under the overall supervision of the project coordination team will produce the envisioned methodological guides for distribution among the participating countries and beyond. And second, the publication and dissemination of ***knowledge products*** on methodologies to introduce innovation in government, as well as the production of case studies focusing on successful implementation of initiatives involving the incorporation of innovative practices in government and in introducing different channels of public services delivery.

The second output of the project involves a series of ***study visits*** of government personnel from the seven participating countries engaged in innovation policy design and implementation, as well as in designing the provision of public services through digitalisation and alternative channels of delivery. Representatives from the seven participating countries will participate in these study visits, which will be co-organised by UNDP and NIA and hosted by NIA.

Expected Results

Enhanced knowledge of public officials in the participating countries on the concept and practice of innovation in government and on digitalisation processes in public service delivery, as well as

enhanced capacity of public officials in the participating countries to introduce innovative practices and provide digitalised public services delivered through differentiated channels of delivery.

Resources Required to Achieve the Expected Result

The Project will be financed by MOIS, NIA, and UNDP. The Project will be implemented in accordance with UNDP rules, regulations, policies, and procedures.

In addition to financial resources, the Project will engage significant human, expert and institutional resources, including the UNDP project team that implements ACSH activities (such a Project team is already in place, consisting of professional staff – project manager, specialists, and assistants to manage organisational, administrative, procurement, human resources, and financial aspects of project implementation), experts from the UNDP Country Office and UNDP Istanbul Regional Hub, non-governmental organizations, and external service providers. UNDP will use its global access to a large network of country offices and world-level technical expertise to study and test best international practices for relevant areas of the Project's work.

Partnerships

The Project will capitalize on the partnership of UNDP, ACSH, MOIS and NIA of the Republic of Korea. Hence, UNDP will partner with various institutions and involve multiple stakeholders in the implementation of this joint initiative. First and foremost, will partner with MOIS and NIA of the Republic of Korea, who are expected to provide considerable substantive input to activities related to innovation in governance and provision of digital public services through differentiated channels of delivery. It will also partner with the relevant institutions in the participating countries, as well as with other organisations which may be able to contribute to disseminating knowledge and practical expertise pertaining to innovation in governance and digital public service delivery. Naturally, UNDP will also work closely with the participating countries of the three ACSH P2P Alliances.

Risks and Assumptions

The Project associated risks involve the determination of the priority areas in innovation in governance and those that are related to providing public services digitally through several differentiated channels. They also involve the organisation of a series of seminars and workshops to discuss the topics mentioned above and decide on how to proceed best in disseminating the proper information to all interested parties, as well as provide technical assistance for their implementation by those countries that are willing and able to proceed to the next stage.

Hence, UNDP will pay particular attention to ensuring that activities proposed for implementation are viable and could be completed within the three-year time span of this project and continue operating beyond the project cycle in a sustainable manner. Nevertheless, UNDP possesses the necessary experience and expertise at both the core and operating level to meet the needs of the planned project and make optimal use of the resources and appropriately utilise the partnerships of this project to achieve the expected results in a timely manner and in accordance with certain standards.

Furthermore, it seems that given the new reality bestowed upon us by the COVID-19 pandemic has induced additional momentum in proceeding with the introduction of innovative practices in government and further digitalisation of public services to be delivered through differentiated channels. This momentum will provide the additional stimulus and impetus for the effective completion of the project's envisioned results. It also seems that the participating countries are eager to proceed with the implementation of the project activities, as they expect to receive valuable information, knowledge, and expertise, which will assist them in proceeding with their plans in digitalising public services. In a similar context, it is also hoped that innovation practices will also be introduced, as in any case digitalisation of public services and their delivery through differentiated channels constitutes an innovation in itself. Thus, it is hoped that if early positive results are achieved

in further digitalisation of public services, these will also serve as the impetus for pushing through innovative practices in other areas of governance.

In order to prevent any potential delays in project implementation, which may be caused by the current travel restrictions in place – an anti-COVID-19 measure - an alternative implementation plan (plan B) has been devised for 2021. This is to ensure that project activities will be implemented in a timely manner utilising the prescribed budget funds envisioned for each activity during this period. No Plan B has been devised for the remaining two years, as it is assumed that travel restrictions will be lifted by the end of year 2021. The table below presents actions to be taken if envisioned project activities are impacted due to the pandemic.

Table: Plan B for 2021

	Activity	**Assumptions**	**Action to be taken**
1.1	Feasibility study to assess degree of readiness for introduction of innovative practices in government including provision of digitalised public services	It involves mostly desk work that may be conducted remotely from the countries under investigation. Discussion groups may also be conducted remotely. The study will be implemented between August and November (this timeline involves several stages that need to be completed, e.g., preparation of ToR, procurement process for recruiting the most suitable institution to administer the survey, compilation of results and production of recommendations). [12]	As it is not affected by the COVID-19 related restrictions no alternative action to be taken is needed.
1.2	Regional conference to discuss findings of the feasibility study and decide on the topics the project will concentrate on with the participation of ACSH P2P Alliances on innovation, digitalisation, and e-governance members among others	Provided that the feasibility study will be completed by the end of November 2021, the regional conference to discuss its findings will be held in December 2021. Travel restrictions lifted by the early part of Fall 2021. Situation will be reviewed at least 2 months prior to the regional conference.	No alternative action is recommended at this time. In the unlikely event – according to current predictions – that restrictions will continue into the last quarter of 2021; the conference will be conducted on-line by the end of the year 2021.
1.3	Seminars to introduce the concept of innovation and its potential uses in government and governance practices, and in utilising differentiated channels of public service delivery through digitalisation	Seminars are planned to start within the first three months of the project implementation and be completed by the end the year 2021. However, as it is already June 2021 and the project has not commenced, as well as that travel restrictions are still in force during this period, it is recommended that seminars are delivered electronically from September to December 2021.	As seminars are critical to the overall timely implementation of the project, it is suggested that this activity is implemented electronically. This shift entails in the original design, structure, sequence, and content of the seminar modules. It is proposed that this activity comprises of 4 3-hour seminars on innovation and digitalisation that are delivered 1 per month over the course of 4 months, e.g., September to December. It is also proposed that the series will comprise four topics on the subject matter,

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[12] This timeline assumes that the project agreement between MOIS and UNDP will be signed by both parties and funds will deposited to the UNDP bank account no later than 30 June 2021.

			presented sequentially and it will involve several experts who will be engaged for the purpose. This is plausible as adequate funds have been allocated for the implementation of this activity. It is also suggested that participants take some kind of test / quiz at the end of the seminar series which will lead to their certification as innovation and/or digitalisation associates to convey relevant knowledge to their organisations.
2.1	Study visits in Korea organised for selective government officials and executives of central and local government agencies, special bodies and institutions, experts, and policy makers.	Study visits will take place one per year of project implementation. First year visit to take place towards the end of the first year (2021)	In the event that the study visit planned for 2021cannot take place in 2021 due to travel restrictions, then the study visit could be converted to a webinar, or a series of webinars and spare funds could be used to finance the participation of additional government officials in the remaining two study visits.

Stakeholder Engagement

The level of engagement between the UNDP and the project stakeholders vary in terms of their goals, scope, size, and level of engagement. The key stakeholders of this project are the government organisations of the seven participating countries (Armenia, Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Tajikistan, and Uzbekistan) engaged in innovation and digitalisation policy and implementation that are eager to learn and exchange ideas and opinions on how to introduce innovative practices in governance. They are also keen to exchange knowledge and experience expecting to learn from each other on how to move ahead with digitalisation of public services and deliver them through differentiated channels.

In this context, it is also expected that the citizens of the participating countries will be positively affected as they stand to benefit from any improvements that may take place in governance through the application of innovative practices, as well as from the digitalisation of public services provided to them.

South-South and Triangular Cooperation (SSC/TrC)

This project is a good example of a triangular cooperation modality among countries. On one hand, the seven participating countries, and on the other MOIS and NIA eager to disseminate information, share knowledge and convey their experience on the topics of the project, for the benefit of the participating countries.

Knowledge

In Project implementation UNDP will rely upon the ACSH with respect to research and knowledge management. The findings, conclusions and recommendations stemming from such activities are published and widely disseminated in many forms and formats, e.g., books, case studies, thematic research papers, comparative analyses, and an open access journal; all in printed and electronic formats. The ACSH web portal serves as an electronic gateway to accessing the knowledge products it produces. These knowledge products provide useful information, advice and guidance to policy

makers and practitioners involved in public administration and civil service reform and public service delivery enhancement in the participating countries and beyond.

Sustainability and Scaling Up

Sustainability of the initiative, beyond the duration of the Project, will be ensured by the ACSH P2P Alliances on innovation, public services, and e-government, in congruence with their mandate. That is, the continuous exchange of information, knowledge, and expertise among the participating countries. In other words, ACSH P2P Alliances will continue to function, thus contributing to further advancement in the areas of interest. Furthermore, it is envisioned that the partnership with MOIS and NIA will continue, resulting to further learning and knowledge exchange among the participating countries and the Republic of Korea.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

The Project implementation mechanism has been conceived and designed in such a way as to deliver the maximum possible results against the available financial resources throughout the duration of the project.

The UNDP will use a portfolio management approach to improve cost effectiveness.

Cost effectiveness and efficiency during the project implementation will be ensured by compliance with the UNDP standard rules, regulations, policies, and procedures.

The UNDP project team will develop a detailed project implementation plan with application of monitoring tools at each phase of the project. This will help trace the output indicators and measure the level of achievement of project goals versus identified project targets.

Project Management

The UNDP CO will involve a professional project management team comprised of national and international experts that possesses the required expertise, managerial and analytical skills. High quality of reporting will be ensured by engaging technical advisors. The international technical advisors and the programme UNDP staff, including the thematic team leaders from the Istanbul Regional Hub, will provide the quality assurance of the project's deliverables.

In its implementation, the project will widely use new programme and project management methods, mechanisms, and financial instruments to ensure cost efficiency and effectiveness throughout the project implementation. Thus, the project will be executed based on the portfolio management approach which allows to reduce transaction costs of project designing, monitoring, implementing, overseeing, and reporting. The project team will be structured in the way to unify professional experts to work in one portfolio to ensure rapid space of the project implementation and exchange of the best practices and lessons learnt from other projects both on country and regional levels.

V.   RESULTS FRAMEWORK

Intended Outcome as stated in the UNSDCF/Country Programme Results and Resource Framework:
By 2025, state institutions at all levels effectively design and implement gender-sensitive, human rights and evidence-based public policies and provide quality services in an inclusive, transparent, and accountable manner (2.2).
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:
Institutions and systems enabled to develop and implement institutional reforms towards more effective, transparent, and inclusive governance and service provision at the national and regional levels (2.2); Triangular development initiatives are in place to support the positioning of the participating countries, with a focus on empowerment of women (2.4).
Applicable Output(s) from the UNDP Strategic Plan: Accelerate structural transformations for sustainable development (2).
Project title and Atlas Project Number: Capacity Building for Innovation in Governance and Digitalisation of Public Services / 00137296

EXPECTED OUTPUTS	OUTPUT INDICATORS[13]	DATA SOURCE	BASELINE		TARGETS			DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	
Output 1 Capacity Building of government officials and executives of central and local government agencies, special bodies and institutions, experts and policy makers in innovation policy and practices and in digitalisation of public services and their delivery.	**1.1** Feasibility study completed identifying the essential areas, which the project activities will concentrate on during its implementation.	Information collected from the participating countries	0	2020	1			A comprehensive survey administered in all 7 participating countries
	1.2 Number of government officials, executives, experts, and policy makers of central and local government agencies, etc attending regional conference to discuss findings of the feasibility study and decide on the topics the project will concentrate on with the participation of ACSH P2P Alliances on innovation, digitalisation, and e-governance members among others	Regional Conference's lists of participants. Event report	0	2020	60			Event organisational records and report analysis
	1.3 Number of government officials, executives, experts, and policy makers of central and local government agencies, etc attending seminars introducing the concept of	Seminars' lists of participants; Events reports	0	2020	50	50	50	Events organisational records and reports analysis

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[13] 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.

	innovation and its potential uses in government and governance practices and in utilising differentiated channels of public service delivery through digitalisation – including the Korean experience.						
	1.4 Number of government officials, executives, experts, and policy makers of central and local government agencies, etc attending workshops that elaborate on policy design to create an environment conducive to innovative practices, as well as uses of innovative practices employed by the Government of Korea.	Workshops' lists of participants; Events reports	0	2020		100	100	
	1.5 Number of methodological guides produced on how to introduce innovative practices in government and on what steps to follow in digitalising public services.	Publication records	0	2020		1	1	Publication and dissemination records
	1.6 Number of knowledge products prepared and published on methodologies to introduce innovation in government and case studies of successful implementation of innovation practices in government and introducing differentiated channels of public service delivery through digitalisation of public services.	Publication records	0	2020		1	1	
Output 2 Government officials, executives of central and local governments, special bodies and institutions, experts and policy makers are exposed to innovation practices through study visits to Korea.	**2.1** Number of government officials, executives, experts, and policy makers of central and local government agencies, etc. exposed to innovation practices in governance and the provision of public services through differentiated channels of delivery through study tours to witness the Korean experience.	Study visits lists of participants	0	2020	20	20	20	Study visits organisational records analysis

12

VI. MONITORING AND EVALUATION

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

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Assessment of project implementation progress in achieving its targeted outputs against the results indicators (see results framework table); 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.	Annually	Work closely with the participating countries representatives to assess whether the results of the envisioned activities match their expectations. Slower than expected progress will be addressed by the project coordination team.	Project Board	TBD
Monitor and Manage Risk	Specific risks are identified, and suggested mitigating measures provided. Discussion of risks with CO Management and the partners if any considerate risk arises.	Annually	Risks are identified by project management and actions are taken to manage each risk. The risk log is actively maintained to keep track of identified risks and actions taken.	Project Team / Project Board	TBD
Learn	Knowledge and good practices contained in the activities' concluding reports will be captured and encapsulated in policy briefs / assessment reports and/or case studies for dissemination among the participating countries and beyond.	As knowledge becomes available throughout the implementation period	Relevant information is captured by the project team and used to develop useful knowledge products.	Project Team	TBD
Annual Project Quality Assurance	Annual quality assurance exercise.	As required	Performance data, risks, lessons learnt, and output quality will be discussed and used to make modifications, if deemed necessary.	UNDP Monitoring and Evaluation Unit	TBD
Review and Make Course Corrections	It will be done through collection and analysis of evidence indicating project implementation progress. Development of corrective measures will follow, if necessary, to achieve the project results.	At least annually	Performance data, risks, lessons learnt, and output quality will be discussed and used to make modifications, if deemed necessary.	Project Board	TBD

Project Progress Report	A progress report will be presented, consisting of progress data showing the results achieved against the 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.	Following completion of each major activity and at the end of the project (final report)	Consideration and approval of project progress reports	Project Board	TBD
Project Review (Project Board)	The project's governance mechanism will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Annually and at the end of project implementation	Any quality concerns or slower than expected progress should be discussed by Partners and management actions agreed to address the issues identified.	Project Board	TBD

Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSDCF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Final Project Evaluation	N/A	Accelerate structural transformations for sustainable development (2).	By 2025, state institutions at all levels effectively design and implement gender-sensitive, human-rights and evidence-based public policies and provide quality services in an inclusive, transparent, and accountable manner (2.2).	September 2023	7 participating countries from Central Asia – Kazakhstan, Kyrgyzstan, Tajikistan, and Uzbekistan – and from the Caucasus – Armenia, Azerbaijan, and Georgia	USD 6,000 Project allocated funds

VII. MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (In USD)			RESPON-SIBLE PARTY	PLANNED BUDGET				
		2021	2022	2023		Funding Source	Budget line	2021	2022	2023
Output 1: Capacity building of government officials and executives of central and local government administration and agencies, special bodies and institutions, experts and policy makers in innovation policies and practices and in the provision of public services through differentiated channels of delivery,	**1.1** Feasibility study to assess degree of readiness for introduction of innovative practices in government including provision of digitalised public services through differentiated channels of delivery.	30 000	-	-	UNDP	MOIS	71200	9 500	-	-
							72100	20 000	-	-
							74500	500	-	-
	1.2 Regional conference to discuss findings of the feasibility study and decide on the topics the project will focus on with the participation of the ACSH P2P Alliances on Innovation, Digitalisation, and E-governance members among other.	67,000.00	-	-	UNDP	MOIS	72100	40 000	-	-
							71600	24 500	-	-
							74200	2 500	-	-
	1.3 Seminars to introduce the concept of innovation and its potential uses in government and governance practices and utilising differentiated channels of public service delivery through digitalisation – including mainly the Korean experience.	68,016.50	68,016.50	68,016.50	UNDP	MOIS	72100	40 000	40 000	40 000
							71600	25 000	25 000	25 000
							74200	2 800	2 800	2 800
							74500	216.5	216.5	216.5
	1.4 Workshops to present and elaborate on policy design to create an environment conducive to innovation practices, as well as uses of innovative practices by the Government of the Republic of Korea.	-	67,000.00	67,000.00	UNDP	MOIS	72100	-	40 000	40 000
							71600	-	25 000	25 000
							74200	-	2 000	2 000
	1.5 Production and distribution of methodological guides on how to introduce innovative practices in	-	10,000.00	10,000.00	UNDP	MOIS	71200	-	7 000	7 000

including digitally. *Gender marker: **GEN 1***	government and on what steps to follow in digitalising public service for delivery through differentiated channels.						74200	-	3 000	3 000
	1.6 Publication of knowledge products on methodologies to introduce innovation in government and case studies of successful implementation of innovation in government and in introducing differentiated channels of delivery for public services.		20,000.00	20,000.00	UNDP	MOIS	71200	-	15 000	15 000
							72100	-	2 000	2 000
							74200	-	3 000	3 000
Output 1 activities total			**165,016.50**	**165,016.50**	**165,016.50**					**495,049.50**
UNDP General Management Support Services (GMS) at 8%			*13,201.32*	*13,201.32*	*13,201.32*					*39,603.96*
UN Coordination Levy at 1%			*1,782.18*	*1,782.18*	*1,782.18*					*5,346.53*
Output 1 total			**180,000.00**	**180,000.00**	**180,000.00**					**540,000.00**

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (in USD)			RESPON-SIBLE PARTY	PLANNED BUDGET				
		2021	2022	2023		Funding Source	Budget line	2021	2022	2023
Output 2: Government officials, executives of central and local government administration and agencies, special bodies and institutions, experts and policy makers are exposed to innovation practices through study visits co-organised by UNDP and NIA *Gender marker:* **GEN 2**	**2.1** Study visits to Korea, and training programmes organised for a selective group of government officials and executives of central and local government administration, special bodies and institutions, experts, and policy makers.	137,513.75	137,513.75	141,180.79	UNDP	MOIS / NIA	72100	70 000	70 000	70 000
							71600	55 000	55 000	59 000
							74200	11 000	11 000	11 000
							74500	1 513.75	1 513.75	1 180.7
Output 2 activities total		**137,513.75**	**137,513.75**	**141,180.79**						**416,208.29**
UNDP General Management Support Services (GMS) at 8%		*11,001.10*	*11,001.10*	*11,294.46*						*33,296.66*

UN Coordination Levy at 1%		*1,485.15*	*1,485.15*	*1,524.75*						*4,495.05*
Output 2 total		**150,000.00**	**150,000.00**	**154,000.00**						**454,000.00**
Output 3: Project Management	Project Coordination in parallel	6,000.00	6,000.00	6,000.00	UNDP	UNDP	72100	6 000	6 000	6 000
	Administration in parallel	3,600.00	3,600.00	3,600.00	UNDP	UNDP	71400	3 600	3 600	3 600
	Quality Assurance / Monitoring in parallel	3,600.00	3,600.00	3,600.00	UNDP	UNDP	71400	3 600	3 600	3 600
	Travel-associated costs for UNDP-sponsored participants in output 1 activities in parallel	18,437.00	14,000.00	14,000.00	UNDP	UNDP	71600	18 437	14 000	14 000
	End-of-term evaluation			6,000.00	UNDP	UNDP	71200	-	-	6,000.00
Output 3 activities total		***31,637.00***	***27,200.00***	***33,200.00***						***92,037.00***
UNDP General Management Support Services (GMS) at 8%		*2,530.96*	*2,176.00*	*2,656.00*						*7,362.96*
Output 3 total (UNDP contribution)		**34,167.96**	**29,376.00**	**35,856.00**						**99,400.00**
TOTAL		**364,167.96**	**359,376.00**	**369,856.00**						**1,093,400.00**

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will be implemented in accordance with the established UNDP policies, procedures, rules and regulations.

The principal governance mechanism is the Project Board which should:

- Provide general, high-level, strategic oversight to the project activities including financial oversight.
- Review and appraise detailed Project Plans and AWP, including the risk log and the monitoring and communication plan.
- Provide project and policy implementation oversight.
- Provide overall guidance and direction to the project, ensuring it remains within specified constraints.
- Provide overall guidance and direction to the project.
- Address project issues as raised by the Project Manager.
- Provide guidance and agree on possible management actions to address specific risks.
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner.
- Appraise the Project Annual Review Report, make recommendations for the next AWP,
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded.
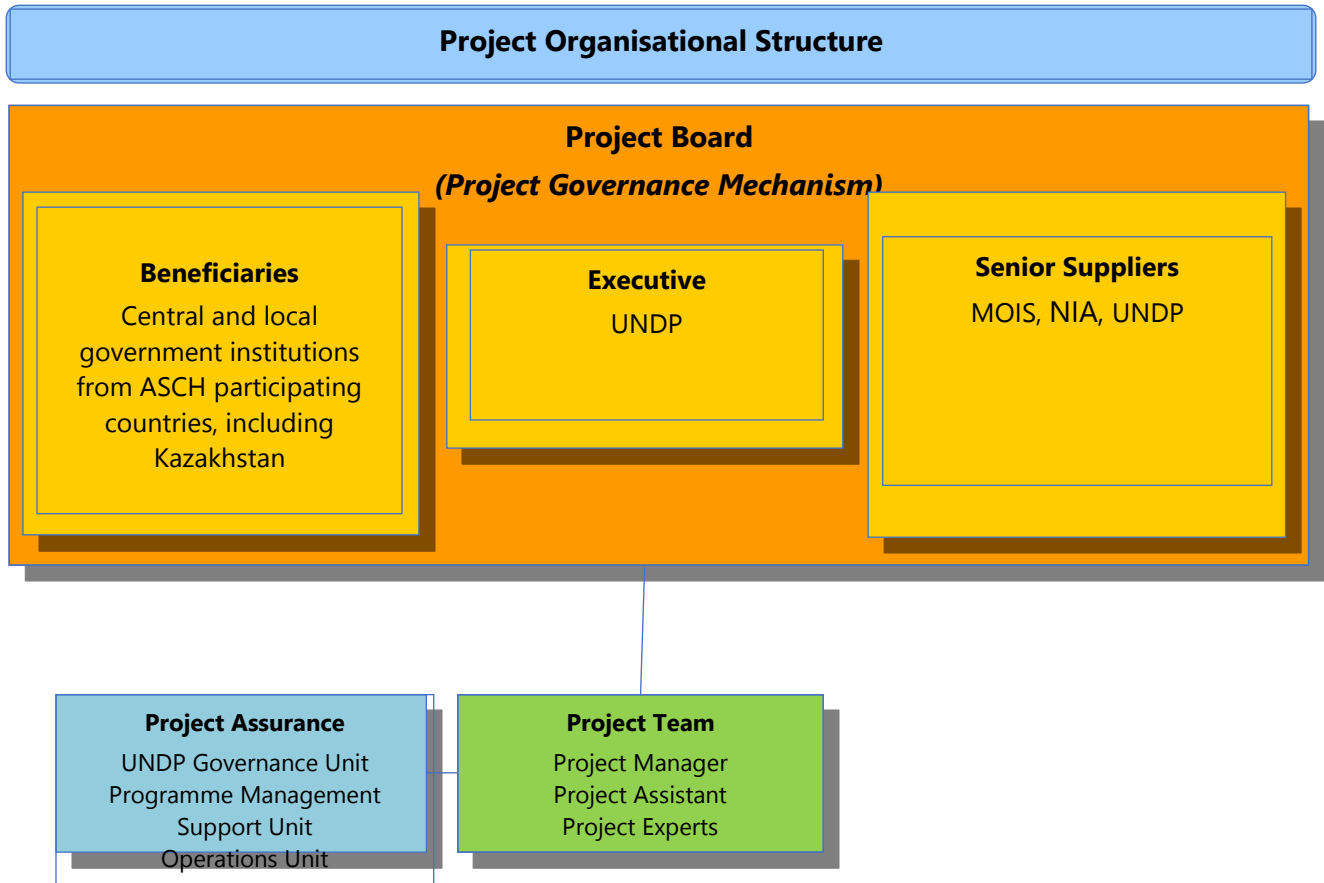- Assess and decide on project changes through revisions.

The UNDP will chair the Project Board (PB). Key members of the project board are MOIS, NIA, the Government, and other stakeholders. The full composition of the PB will be agreed upon during its first meeting.

The PB meetings take place at least once a year If needed, the PB can hold additional meetings in the course of the year.

Day-to-day management of the Project will be done by the UNDP Project Team, responsible for the general coordination of project activities, including liaison and cooperation with the partner organizations.

UNDP Country Office will provide programme and operations support.

The diagram below shows strategic and operational management of the project.

Project Organisational Structure

Project Board
(Project Governance Mechanism)

Beneficiaries

Central and local government institutions from ASCH participating countries, including Kazakhstan

Executive

UNDP

Senior Suppliers

MOIS, NIA, UNDP

Project Assurance

UNDP Governance Unit
Programme Management Support Unit
Operations Unit

Project Team

Project Manager
Project Assistant
Project Experts

IX.   LEGAL CONTEXT

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

This Project will be directly implemented by UNDP in accordance with UNDP regulations, rules, and procedures.

X.   RISK MANAGEMENT

UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures, and practices of the United Nations Security Management System (UNSMS.)

2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds are used to provide support to individuals or entities associated with terrorism 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/aq_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. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies, and procedures.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

    a. Consistent with the Article III of the SBAA *[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.

c. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.

d. 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.

e. 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.

f. 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.

g. 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.

h. 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.

    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.

i. 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.

j. 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.

k. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

XI. ANNEXES

Annex 1: Social and Environmental Screening Check List

Annex 2: Risk Analysis Log

Annex 3: Quality Assurance Assessment Design

Annex 4: Project Board Terms of Reference

Annex 1: Social and Environmental Screening Template

Project Information

Project Information	
1. **Project Title**	Capacity Building for Innovation in Governance and Digitalisation of Public Services
2. **Project Number**	00127858
3. **Location**	Kazakhstan
4. **Project stage**	Design
5. **Date**	17/09/2021

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

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
The project focuses on strengthening the capacity of government personnel from the ACSH participating countries in achieving their human development goals. The project contributes to the establishment of modern, effective, and sustainable governance systems that meet society's expectations to responsive, accountable, and transparent public institutions in the countries of the region and beyond, thus promoting human rights-based approach to development.
Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment
The project will ensure gender balance among the participants of its learning and training activities. It will also ensure that demand- and need-oriented, as well as gender-based learning approaches will be employed throughout the implementation timeline of the project. Furthermore, all on-demand capacity building, research-related and partnership events, gender aspects will be taken into consideration.
Briefly describe in the space below how the project mainstreams sustainability and resilience
Sustainability is achieved by improving the quality of life of the population and modernizing the governance system through innovation and introduction of digital public service provision through differentiated channels of delivery.
Briefly describe in the space below how the project strengthens accountability to stakeholders
Accountability to stakeholders is achieved by continuous monitoring and progress reporting during the lifecycle of the Project.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2*	QUESTION 3: What is the level of significance of the potential social and environmental risks? *Note: Respond to Questions 4 and 5 below before proceeding to Question 6*			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
Risk Description (broken down by event, cause, impact)	*Impact and Likelihood (1-5)*	*Significance (Low, Moderate, Substantial, High)*	*Comments*	*Description of assessment and management measures for risks rated as Moderate, Substantial or High*
No risks identified				

	QUESTION 4: What is the overall Project risk categorization?					
	Low Risk	☑	The Project has been assessed as having low social and environmental risks.			
	Moderate Risk	☐				
	High Risk	☐				

	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? *(check all that apply)*				
	Question only required for Moderate, Substantial and High Risk projects				
	Is assessment required? *(check if "yes")*	☐			***Status?*** *(completed, planned)*
	If yes, indicate overall type and status		☐	Targeted assessment(s)	
			☐	ESIA (Environmental and Social Impact Assessment)	
			☐	SESA (Strategic Environmental and Social Assessment)	
	Are management plans required (check if "yes")	☐			
	If yes, indicate overall type and status		☐	Targeted management plans (e.g., Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	
			☐	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			☐	ESMF (Environmental and Social Management Framework	
	Based on identified risks, which Principles/Project-level Standards triggered?		**Comments (not required)**		
	Overarching Principle: Leave No One Behind				
	Human Rights	☐			
	Gender Equality and Women's Empowerment	☐			

26

	Accountability	☐	
	1. Biodiversity Conservation and Sustainable Natural Resource Management	☐	
	2. Climate Change and Disaster Risks	☐	
	3. Community Health, Safety and Security	☐	
	4. Cultural Heritage	☐	
	5. Displacement and Resettlement	☐	
	6. Indigenous People	☐	
	7. Labour and Working Conditions	☐	
	8. Pollution Prevention and Resource Efficiency	☐	

Final Sign Off

Signature	*Date*	*Description*
QA Assessor *Bakyt Zhexembay* *Dosbol Tursumuratov*	16-Sep-2021 22-Sep-2021	**Bakyt Zhexembay, Project Manager** **Dosbol Tursumuratov, Monitoring and Evaluations Associate**
QA Approver	22-Sep-2021	**Vitalie Vremis, Deputy Resident Representative**
LPAC Chair	22-Sep-2021	**Vitalie Vremis, Deputy Resident Representative**

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental **Risks**		Answer (Yes/No)
Overarching Principle: Leave No One Behind **Principles 1: Human Rights**		
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g., during the stakeholder engagement process, grievance processes, public statements)?	NO
P.2	Is there a risk that duty-bearers (e.g., government agencies) do not have the capacity to meet their obligations in the project?	NO
P.3	Is there a risk that rights-holders (e.g., project-affected persons) do not have the capacity to claim their rights?	NO
Would the project potentially involve or lead to		
P.4	Adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalised groups?	NO
P.5	Inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalised or excluded individuals or groups including persons with disabilities?[14]	NO
P.6	Restrictions in availability, quality and/or access to resources or basic services, in particular to marginalised individuals or groups, including persons with disabilities	NO
P.7	Exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	NO
Gender Equality and Women's Empowerment		
P.8	Have women's groups/leaders raised gender equality concerns regarding the project (e.g., during the stakeholder engagement process, grievance processes, public statements)?	NO
Would the project potentially have involved or lead to		
P.9	Adverse impacts on gender equality and/or the situation of women and girls?	NO
P.10	Reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
P.11	Limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? 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	NO
P.12	Exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.*	NO
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
Would the project potentially involve or lead to		
P.13	Exclusion of any potentially affected stakeholders, in particular marginalised groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	NO
P.14	Grievances or objections from potentially affected stakeholders?	NO
P.15	Risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	NO
Project-Level Standards		

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[14] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, gender identity, 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 transsexual people.

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
Would the project potentially involve or lead to		
1.1	Adverse effects to habitats (e.g., modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	NO
1.2	Activities within on adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g., nature reserve, national park), areas proposed for protection, or recognised as such by authoritative sources and/or indigenous peoples or local communities?	NO
1.3	Changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	NO
1.4	Risks to endangered species (e.g., reduction, encroachment no habitat)?	NO
1.5	Exacerbation of illegal wildlife trade?	NO
1.6	Introduction of invasive alien species?	NO
1.7	Adverse impacts on soils?	NO
1.8	Harvesting of natural forests, plantation development, or reforestation?	NO
1.9	Significant agricultural production?	NO
1.10	Animal husbandry or harvesting of fish populations or other aquatic species?	NO
1.11	Significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	NO
1.12	Handling or utilisation of genetically modified organisms/living modified organisms?[15]	NO
1.13	Utilisation of genetic resources (e.g., collection and/or harvesting commercial development)[16]	NO
1.14	Adverse transboundary or global environmental concerns?	NO
Standard 2: Climate Change and Disaster Risks		
2.1	Areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	NO
2.2	Outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? *For example, through increased precipitation, drought temperatures, salinity, extreme events, earthquakes*	NO
2.3	Increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? *For example, changes to land use planning many encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	NO
2.4	Increased of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	NO
Standard 3: Community Health, Safety and Security		
Would the project potentially involve or lead to		
3.1	Construction and/or infrastructure development (e.g., roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large complex dams)	NO
3.2	Air pollution, noise, vibration, traffic, injurie, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	NO
3.3	Harm or losses due to failure of structural elements of the project (e.g., collapse of buildings or infrastructure)?	NO
3.4	Risks of water-borne or other vector-borne diseases (e.g., temporary breeding habitats), communicable and non-communicable diseases, nutritional disorders, mental health?	NO

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[15] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.
[16] See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

3.5	Transport, storage and use and/or disposal of hazardous or dangerous materials (e.g., explosives, fuel and other chemicals during construction and operation)?	NO
3.6	Adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g., food, surface water purification, natural buffers from flooding)?	NO
3.7	Influx of project workers to project areas?	NO
3.8	Engagement of security personnel to protect facilities and property or to support project activities?	NO
Standard 4: Cultural Heritage		
Would the project potentially involve or lead to		
4.1	Activities adjacent to or within a Cultural Heritage site?	NO
4.2	Significant excavations, demolitions, movement of earth, flooding or other environmental changes?	NO
4.3	Adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g., knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage many also have inadvertent adverse impacts)	NO
4.4	Alterations to landscapes and natural features with cultural significance?	NO
4.5	Utilisation of tangible and/or intangible forms (e.g., practices, traditional knowledge) or Cultural Heritage for commercial or other purposes?	NO
Standard 5: Displacement and Resettlement		
Would the project potentially involve or lead to		
5.1	Temporary or permanent and full or partial physical displacement (including people without legally recognisable claims to land)?	NO
5.2	Economic displacement (e.g., loss of asses or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation?	NO
5.3	Risk of forced eviction?[17]	NO
5.4	Impacts on or changes to land tenure arrangements and/or community-based property rights/customary rights to land, territories and or resources?	NO
Standard 6: Indigenous Peoples		
Would the project potentially involve or lead to		
6.1	Areas where indigenous peoples are present (including project area of influence)?	NO
6.2	Activities locate on lands and territories claimed by indigenous people?	NO
6.3	Impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within on outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognised as indigenous peoples by the country in question)?	NO
6.4	The absence of culturally appropriate consultations carried out with the objective to achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	NO
6.5	The utilisation and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	NO
6.6	Forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to land, territories, and resources?	NO
6.7	Adverse impacts on the development priorities of indigenous peoples as defined by them?	NO
6.8	Risk to the physical and cultural survival of indigenous peoples?	NO
6.9	Impacts on the Cultural Heritage of indigenous peoples, including through the commercialisation or use of their traditional knowledge and practices?	NO

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[17] Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

	Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.	
Standard 7: Labour and Working Conditions		
Would the project potentially involve or lead to (note: applies to project and contract workers)		
7.1	Working conditions that do not meet national labour laws and international commitments?	NO
7.2	Working conditions that may deny freedom of association and collective bargaining?	NO
7.3	Use of child labour?	NO
7.4	Use of forced labour?	NO
7.5	Discriminatory working conditions and/or lack of equal opportunity?	NO
7.6	Occupational health and safety risks due to physical, chemical, biological, and psychological hazards (including violence and harassment) through the project life-cycle?	NO
Standard 8: Pollution Prevention and Resource Efficiency		
Would the project potentially involve or lead to		
8.1	The release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	NO
8.2	The generation of waste (both hazardous and non-hazardous)?	NO
8.3	The manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	NO
8.4	The use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention*	NO
8.5	The application of pesticides that may have a negative effect on the environment or human health?	NO
8.6	Significant consumption of raw materials, energy, and/or water?	NO

Annex 2: Risk Analysis

	Project title: Capacity for Innovation in Governance and Digitalisation of Public Services		**Project No:** 00137296		**Date:** ....
	Description	**Risk category[18]**	**Likelihood, Impact & Risk level[19]**	**Risk treatment / Management measures**	**Risk owner**
1	Decreasing interest of the participating countries' governments due to irrelevance of the project activities.	Strategic Political Organisational	P = 1 I = 5 Low	Conduct feasibility study to determine the priorities of the participating countries, as well as the particular areas they are mostly interested in, so they are fully congruent with their immediate priorities. Communicate regularly with the participating organisations from the 7 countries to ensure that capacity building activities yield the expected results and knowledge products are of high relevance and quality.	UNDP
2	Inability to complete all envisioned activities due to travel restrictions induced by the COVID-19 pandemic.	Organisational Operational	P = 3 I = 3 Moderate	Plan B has been devised for year 2021 activities, in order to alleviate the adverse effects of the COVID-19 pandemic on project implementation (see also table "Plan B for 2021", p. 6 of this document).	UNDP
3	Yielding tangible results through the activities envisioned through this project in advancing innovation and public service delivery through differentiated channels	Strategic Organisational Regulatory	P = 2 I = 5 Moderate	Hold regular consultations with government entities responsible for implementation of innovation practices and provision of public services through differentiated channels; and provide continuous technical assistance and support for timely operationalisation of the proposed initiatives.	UNDP

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[18] Eight risk categories: Financial, Political, Regulatory, Operational, Organisational, Safety and Security, Social and Environmental, Strategic.
[19] P – likelihood level on a scale of 1 (=not likely) to 5 (=expected). I – impact level on a scale of 1 (=negligible) to 5 (=critical). Risk levels: Low, Moderate, Substantial, High.

Annex 3: Quality Assurance Assessment Design

https://intranet-
apps.undp.org/ProjectQA/Forms/Design?fid=8983&year=2021&ou=KAZ&pid=00137296&fltr=PR
OJECT

Annex 4: Project Board Terms of Reference

Overall Responsibilities

The Project Board is ultimately responsible for making sure that the project remains on course to deliver the desired results. It is responsible for making by consensus management decisions for the project*: at designated decision points during the implementation of the project (see specific responsibilities bellow); when guidance is required by the Project Manager; and, when project tolerances (normally in terms of time and budget) have been exceeded.

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

The Project Board will:

- Ensure that there is coherent project organization at both the national and local levels;
- Following the agreement, set tolerances in the Annual Work Plans and other plans as required with the National Project Manager, with the involvement of the National Project Director (as necessary);
- Monitor and control the progress of the project activities at a strategic level considering the changes influenced by the project on any baseline investments;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Organize Project Board meetings, to be Chaired by the National Project Director, on a regular basis to be defined by the Board in agreement with the Project Director and National Project Manager;
  - Review and assess progress towards achieving the outputs is consistent from a project supplier perspective
  - Promote and maintain focus to deliver the outputs from the project
  - Ensure that the resources from the project supplier are readily available
  - Arbitrate on, and ensure resolution of any supplier priority or resource conflicts
  - Ensure that the expected project outputs and related activities of the project remains consistent with the perspective of project beneficiaries
  - Be informed of meetings relevant to overall national project implementation, including any regional activities conducted in partnership
  - Facilitate national policy and institutional changes necessary to engender success in project activities
- Annually review project progress and make managerial and financial recommendations as appropriate, including recruitment for the Project Management Unit, review and approval of annual reports, budgets and workplans.

Specific responsibilities

Implementation Stage:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;

- Address project issues as raised by the National Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on National Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next Annual Work Plan, and inform the Outcome Board about the results of the review;
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when National Project Manager's tolerances are exceeded;
- Assess and decide on project changes through revisions.

Closing the project

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including lessons learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement);
- Notify operational completion of the project to the Outcome Board.

Specific Responsibilities of the Executive (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organization structure and logical set of plans;
- Set tolerances in the Annual Work Plan and other plans as required for the National Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief Outcome Board and relevant stakeholders about project progress;
- Organize and chair Project Board meetings.

The Executive is responsible for overall assurance of the project as described below. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

Specific Responsibilities of the Senior Supplier (as part of the above responsibilities for the PB)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

Specific Responsibilities of the Senior Beneficiary (as part of the above responsibilities for the Project Board)

- Ensure the expected output(s) and related activities of the project are well defined;
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective;

- Promote and maintain focus on the expected project output(s);
- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Resolve priority conflicts.

Assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete, and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

Supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities;
- Ensure that any standards defined for the project are met and used to good effect;
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective;
- Monitor any risks in the implementation aspects of the project.