United Nations Development Programme
Country: Mongolia
Project Document

UNDAF Outcome(s):	Accountability and transparency in governing institutions enhanced. People's participation in governance increased
Expected CPAP Output(s):	Participatory democracy assessment and MDG9, using Democratic Governance Indicators (DGIs) institutionalized for improving policy and practice.
Implementing partner:	The Institute of Philosophy, Sociology and Law, the Academy of Sciences of Mongolia
Responsible Parties:	The Parliament sub-committees on MDGs, Ministry of Finance, Ministry of Justice and Home Affairs, the National Human Rights Commission, Independent Agency Against Corruption, the National Statistics Office, Local Governments, CSOs.

Narrative

This project will be implemented under the umbrella of the Global Programme on Capacity Development for Democratic Governance Assessments and Measurements, managed by the UNDP Democratic Governance Group (DGG) and its Oslo Governance Centre (OGC). The project will build on the strengths gained through the previous experience and efforts in developing DGIs and MDG9 target indicators and institutionalization of the governance assessment processes. The aim of the project is to further build the capacities of the government agencies that are formally assigned as reporting bodies on the MDG9 implementation and civil society in the collection, maintenance and analysis of governance related data and to assist the development of an inclusive and consultative framework for the systematic assessment and monitoring of governance goals and targets expressed in the MDGs-based National Development Strategy and the Government Action Plan for 2008-2012. In order to increase national ownership, the scope of the governance assessments will be expanded into sectoral and local levels. As such, sector-specific and decentralised governance assessment tools will be developed and piloted in a selected sector and local governments for further replication in other sectors and areas. The project will attempt to maximize the synergies among the ongoing initiatives taken by

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Programme Period:	**2007-2011**	
CPAP Programme Component:	**Fostering Democratic Governance**	
Project Title:	**Support in Achieving MDG9 on Human Rights and Democratic Governance-Phase II**	
Atlas Award ID:	_____	
Start date:	**Mar 2009**	
End Date	**Mar 2011**	
PAC Meeting Date	**12 February 2009**	

Estimated annualized budget:		_____
Total resources required		**$300,000**
Total allocated resources:		_____
• Regular		**$100,000**
• Other:		
○ OGC		**$200,000**
○ Donor		_____
○ Donor		_____
○ Government		_____
Unfunded budget:		_____

Agreed by (Implementing Partner):

Agreed by UNDP:

Acronyms and Abbreviations

ADB	Asian Development Bank
APR	Annual Project Report
APR	Annual Project Review (equivalent to the former Tripartite Review meeting of project stakeholders)
CP	Country Programme (UNDP)
CSC	Civil Service Council
CSO	Civil Society Organization
DGG	Democratic Governance Group
DGIs	Democratic Governance Indicators
IAAC	Independent Agency Against Corruption
IPSL	Institute of Philosophy, Sociology and Law
ICNRD	International Conference on New and Restored Democracies
LGSP	Local Governance Support Programme
MDGs	Millennium Development Goals
MoF	Ministry of Finance
MoFA	Ministry of Foreign Affairs
MoJHA	Ministry of Justice and Home Affairs
MOU	Memorandum of Understanding
NEX	National Execution
NGOs	Non-governmental Organisations
NHRCM	National Human Rights Commission of Mongolia
NSO	National Statistical Office
PC	Project Coordinator
PMMS	National Poverty and MDG Monitoring and Assessment System
OGC	Oslo Governance Centre
POPP	Programmes and Operations Policies and Procedures
SITE	Support to Integrity and Transparency Efforts in Mongolia Project
TOR	Terms of Reference
UNCAC	United Nations Convention Against Corruption
UNDAF	United Nations Development Assistance Framework
UNDEF	United Nations Democracy Fund
UNDP	United Nations Development Programme
WB	World Bank

I. SITUATION ANALYSIS

UNDAF (2007-2011) affirmed strengthening institutions of democratic governance and ensuring greater transparency, accountability and better mainstreaming of democratic principles across all levels of society are features for Mongolia's better human development. Capacity development in government, private sector and CSOs is critical for effectively managing the transformations underway in the country and ensuring the attainment of national development goals as well as the MDGs. The Country Programme Document of 2006 asserted UNDP's support in mainstreaming of democracy assessment and augmenting national capacity for statistical analyses, especially to monitor performance towards the attainment of MDGs.

The Government of Mongolia hosted the ICNRD-5 in September 2003. The Conference adopted the Ulaanbaatar Declaration and Plan of Actions which commits governments to strengthen democracy and establish mechanisms to monitor the progress of democratic development over time. A follow-up project was then initiated in 2004 by the MoFA with support from UNDP, which paved the way for the development of 130 Democratic Governance Indicators (DGIs) and self-assessment exercise of the state of democratic governance in Mongolia. The Mongolia's self-assessment, which was conducted in 2005 by national researchers, was an in-depth process, eliciting views of 1200 citizens and focusing on all major dimensions of democratic governance with qualitative and quantitative indicators. The final assessment findings were published as "Democratic Governance Indicators: Assessing the State of Governance in Mongolia" in 2006.

In April 2005, the Parliament of Mongolia adopted a Resolution on MDGs with an additional MDG9 "Fostering Democratic Governance and Strengthening Human Rights".

With the support from UNDEF and UNDP, a project on "Support in Achieving MDG9 on Human Rights and Democratic Governance" was implemented in 2007-2008 by the IPSL. The project objectives were to streamline the previously developed DGIs into a manageable set of indicators for national stakeholders, institutionalize governance measurement systems and facilitate dialogue on governance issues. National researchers' work on DGIs resulted in passing a resolution by the Parliament on the monitoring system for MDGs in Mongolia which included indicators on MDG9 and assigned government agencies responsible for reporting (See table below).

Table: MDG 9 Goal – targets, indicators and responsible agencies

Target	Indicators	Responsible agency
Target 22: *Fully respect and uphold the Universal Declaration of Human Rights, ensure the freedom of media, and provide the public with free access to information*	1. Human Development Index	UNDP
	2. Expert evaluation of conformity of Mongolian laws and regulations with international human rights treaties and conventions	NHRCM
	3. Percentage of implementation/enforcement of judicial decisions	MOJHA
	4. Number of attorneys that provide services to poor citizens	MOJHA
	5. Public perception of political, economic, and financial independence of mass media	NSO
	6. Number of state organizations that regularly place reports of their budgets and expenditures on their websites	MOF
Target 23: *Mainstream democratic principles and practices into life*	1. Public perception of activities of state organizations	NSO
	2. Number of civil society organizations that have officially participated and expressed their views in the process of developing and approving the state budget	MOF
	3. Percentage of voters that have participated in nominating governors of soums and baghs	Cabinet Secretariat
Target 24: *Develop a zero-tolerance environment to corruption in all spheres of society*	1. Index of corruption	IAAC
	2. Perception of corruption in political organizations, judicial and law enforcement institutions	IAAC
	3. Public perception of corruption in public administration	NSO

and public services

The project developed a methodological guideline which provides conceptual definitions, data sources and collection, measurement techniques and calculation, disaggregation by gender and poverty status for each target indicator and facilitated discussions among technical experts. Technical assistance was provided to the agencies responsible for reporting on MDG9, namely to the NSO, NHRCM and IAAC. The second report on 'The Changing State of Governance in Mongolia, 2007-2008' was prepared with the involvement of each responsible government agency assigned for MDG9 reporting. The report findings were discussed at a stakeholders' workshop held in December 2008 and has been acknowledged as a baseline for further MDG9 reporting.

Steps have been taken to institutionalise governance assessment. The issue of incorporating a governance module into the household socio-economic surveys was discussed and negotiated with the NSO based on the MOU signed between the NSO and the IPSL in 2006. Survey questions to reflect 'Public perception of political, economic, and financial independence of mass media' and Public perception of corruption in public administration and public services' were developed and pilot tested by the household socio-economic survey conducted by the NSO in September 2008.

In addition, the MDG9 project has greatly contributed to the awareness raising on governance issues in general and governance assessment/measurement in particular. It organised a number of national consultative meetings, round-table discussions, workshops and public forums through the mass media. The project supported the publication of a number of landmark publications by the United Nations such as *"Governance for the MDGs: Core Issues and Good Practices"* and *"Public Administration and Democratic Governance: Governments Serving Citizens"* in the local language and facilitated the debates on the subject among academics, policy makers and civil society actors. Capacity of the national researchers has been further strengthened. The project supported a network of NGOs in support of MDG9 which comprised of about 20 NGOs working on gender and service delivery to disadvantaged people.

Ongoing Related Initiatives

The Government of Mongolia

The Parliament of Mongolia approved the MDGs-Based Comprehensive National Development Strategy of Mongolia in January 2008 and the Government Action Plan for 2008-2012 in November 2008 which will serve as the basis for the medium and short-term planning and budgeting framework. These documents stipulated broadly defined goals for ensuring stable, transparent and accountable operations in government institutions, strengthening the rule of law, and increasing participation by the civil society in governance. However, there is a need to translate these broadly defined goals into concrete action plans, reflect in state and local budgets, set target indicators, put monitoring and evaluation mechanisms in place. Technical assistance by donor agencies in this area will be well justified. The Government has formally requested the UN Country Team to review its UNDAF (2007-2011) for the alignment with the Government Action Plan.

UNDP

Through the project on 'Access to Justice and Human Rights' implemented by the MOJHA, Legal Aid Centres have been established in all 21 provinces and 8 districts of the capital city. To date 1,534 individuals have been provided with legal counselling, attorney and referral services, provided legal aid to the poor involving 156 criminal cases. UNDP will continue to provide support in capacity building to these centres and advocacy campaign for increased number of target clients. In addition, in 2008-2009 the project will support the national efforts in improving the reporting process of UN Human Rights conventions and treaties.

The Local Governance Support Programme jointly implemented by the Cabinet Secretariat focuses on two mutually supporting initiatives: to review the decentralization policy framework and to pilot a grant system for improved service delivery. Under the pilot scheme, grants were provided to 4 aimags. 97 projects were identified in a transparent and participatory manner and endorsed by the local councils. From 2009, the government is planning to introduce performance related criteria for allocating the grant and participatory local government performance assessment tools such as citizens' report cards to evaluate the effectiveness of the pilot initiatives for good governance at the local level.

A new project on 'Support to Integrity and Transparency Efforts in Mongolia' was launched in December 2008 to be implemented by the IAAC in 2009-2011. The project will target tangible integrity, accountability and transparency initiatives at sectoral and local levels, while at the same time supporting institution building of the IAAC. The IAAC has been assigned as a formal reporting body for both UNCAC and MDG9 monitoring. In collaboration with the MDG9 project and other development partners, the project will support the research capacity of the IAAC.

The "National Poverty and MDGs Monitoring and Assessment System Support Project"- PMMS is working on how to institutionalize the M/E of MDGs with regards to 1) data collection, analysis, reporting and dissemination, 2) coordination and planning and 3) policy application. Currently the Ministry of Finance is the main focal point and coordinating agency for MDGs. However, with the establishment of a new Agency on National Development and Reforms under the direct leadership of the Prime Minister, it is anticipated that this function, subsequently the PMMS project will be shifted to the new agency. Currently there is an uncertainty as to the mandates, functions and staffing of this agency.

Other Development Partners

The World Bank, through its "Governance Assistance project" provides support to the IAAC, including UNCAC legal gap analysis and developing the 'corruption index'. The Asia Foundation is supporting the prevention and awareness raising activities of the IAAC (and related capacity development efforts) and assists the agency with corruption perception surveys and public information campaigns. The Asian Development Bank commissioned a governance risk assessment in education and urban transport sectors in late 2008 and has signed the Technical Assistance agreements with the respective ministries to implement anti-corruption action plans at sectoral levels.

Challenges and Ways Forward

The experience of the past four years has shown that governance assessment is a challenging process both in terms of methodology and fulfilling the purpose of ensuring national ownership and serving as actionable tools. The conclusions drawn in the UNDP's Practice Note on Supporting Country-led Democratic Governance Assessment 'capacity deficits, a lack of political commitment, poor coordination and institutionalisation, unsustainable resources and limited ownership are pitfalls of the current assessments' are still relevant to Mongolia.

There is a need to constantly update target indicators and assessment methodologies in order to respond to the fast changing environment. For instance, a target indicator 'Number of attorneys that provide services to poor citizens' was devised to encourage the increased number of lawyers who provide free legal aid where they were required to resolve at least two cases involving poor clients under the old arrangements. Now with the establishment of legal aid centres with full-time lawyers available, the indicator should be reversed to reflect the number of ultimate beneficiaries. The lesson from here is that indicators should have been forward looking.

The OGC fielded a mission in June 2008 to review the MDG9 project which stressed the need for going beyond the small circle of government stakeholders and national researchers in order to fully institutionalise governance assessment processes. However, finding a suitable government agency for coordinating MDG9 interventions and M/E still remains unresolved mainly due to its multi-dimensional characteristics to assign the task to a single government entity.

Increasing the role of the civil society in ensuring accountability and transparency in governance is a critical area of support. It is essential to maintain the support to the NGO network on MDG9 by building its capacity for policy analysis and advocacy, monitoring of performance, action, and behaviour of public officials and constructive participation.

II.   STRATEGY

This project will be implemented under the umbrella of the Global Programme on Capacity Development for Democratic Governance Assessments and Measurements, managed by the UNDP DGG and the OGC. The project will build on the strengths gained through the previous experience and efforts in developing DGIs and MDG9 target indicators and institutionalization of the governance assessment processes.

The objective of the project is to further build the capacities of the government agencies that are formally assigned as reporting bodies on the MDG9 implementation and civil society in the collection, maintenance and analysis of governance related data and to assist the development of an inclusive and consultative framework for the systematic assessment and monitoring of governance goals and targets expressed in the MDGs-based National Development Strategy and the Government Action Plan for 2008-2012.

The project has two main mutually supporting objectives in order to respond to the challenges identified in the situation analysis:

Output 1

Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels;

Output 2

Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened.

In order to increase national ownership, the scope of the governance assessments will be expanded into sectoral and local levels in addition to the national assessment. However, given the limited available resources, the project will adopt a pilot approach for scaling up into other sectors and areas based on the experience and success of the pilots at a later stage.

National Assessment

As in the previous phase the project will continue supporting governance assessments conducted at the national level, one to feed into the third National MDGs Progress report and second is a regular report on the State of Governance in Mongolia.

Sectoral Assessment

A pilot sector will be selected based on political commitment and readiness of the leadership, sector-specific indicators and a methodology for assessment will be developed with active participation of the sectoral staff themselves. The project will provide all the necessary technical support to the selected sector in data collection and analysis, undertaking the assessment, communicating the assessment results. This pilot assessment will be carried out in close coordination and alignment with the ongoing initiatives taken by the Ministry of Health supported under SITE project of UNDP, the Ministry of Education and the Ministry of Road and Transportation supported by the ADB.

Decentralised Governance Assessment

A country-specific local governance assessment tool will be developed based on review of internationally and nationally available tools (OGC has prepared a resource guide for this purpose). In the selection of pilot aimags and/or soums, the project will be guided by the UNDP CO for aligning with the ongoing efforts under the LGSP and MDGs Localisation Component under the PMMS.

A detailed description of activities to deliver these outputs is provided in Annex A: Results and Resources Framework. The main outputs to be achieved under the project are outlined in the Results and Resources Framework with deliverables that will be further detailed in the annual workplans by the different responsible partners. The Annual Work Plan describes the specific inputs to achieve agreed outcomes and will form the basic agreement between the Project Board and each responsible partner on the use of resources.

An important element of the project strategy is to reinforce previously established **national capacity** and to expand this capacity into other actors such as local administrators, local politicians, CSO and research counterparts. The project will try to find innovative approaches in delivering capacity building support.

The project will attempt to maximize the synergies among the ongoing initiatives taken by UNDP and other donors in the area of democratic governance assessment.

Furthermore, the project will ensure that **gender concerns** are systematically addressed and voices of vulnerable groups such as people with disabilities will be reflected in the development of indicators and in assessment processes. Relevant MDG9 data, analysis and reports shall be better disaggregated by gender and awareness raising and capacity building programmes will ensure to involve people from these groups as broadly as possible.

Not the least but the most, building **national ownership and sustainability** is an essential part of the project strategy, which is to be ensured through improved political commitment in linking MDG9 indicators in local development and in utilizing governance data generated for evidence-based policy making. The government is already considering the possibility of incorporating costs related to implementing MDGs and conducted a needs assessment in 2007 to identify necessary financial resources.

III. RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as stated in the Country Programme Results and Resource Framework:

Capacity for democratic and participatory governance enhanced in national and local governing institutions.

Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:

3.3. Participatory democracy assessment and MDG9 , using Democratic Governance Indicators (DGIs) institutionalized for improving policy and practice

3.3.2 Indicator: Independent monitoring and reporting system on the implementation of MDG-9 established using DevInfo and institutionalized and human capacity for participatory monitoring improved;

3.3.3 Indicator: A nation-wide dialogue on MDG9 related issues and democracy assessment results facilitated and public awareness increased

Applicable MYFF Service Line:

Partnership Strategy: The Parliament Sub-committees on MDGs (PSC/MDG), Ministry of Finance (MOF), Ministry of Justice and Home Affairs, Cabinet Secretariat, National Human Rights Commission (NHRCM), Independent Agency Against Corruption, the National Statistics Office (NSO), Local Governments, CSOs

Project title and ID (ATLAS Award ID):

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
Output 1 Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels	**Targets for 2009** A MDG9 Chapter of the Third National MDGs progress report is produced	• Conduct expert review of previously developed MDG9 indicators and verification/validation of the baseline data through a participatory process • Prepare MDG9 part of the third national MDG report • Conduct analysis of implications of governance on the achievements of MDG 1-7 • Conduct advocacy campaign on the findings of the analysis • Prepare recommendations for improving methodology for data collection and a new set of indicators	All partners	National professional Studies and research Workshops/training Travel Procurement Project management Miscellaneous
	Sector specific gender and poverty sensitive indicators are developed and assessment is conducted	• Select a pilot sector through a consultative process • Develop indicators specific to the pilot sector • Conduct sector specific governance assessment • Facilitate policy debates at sectoral levels and implementation of action plans to promote integrity, transparency and accountability • Codification of lessons learned and promote	IPSL, IAAC, SITE, Line Ministry	

		experience sharing for scaling up in other ministries and agencies		
	Targets for 2010 The third national report on the State of Democratic Governance is produced	• Provide technical assistance to government agencies responsible for MDG9 reporting • Conduct democratic governance assessment using the new set of MDG9 indicators • Facilitate national policy dialogue on the assessment results • Publicise and disseminate the results	All partners	
	Local governance assessment tool is produced and piloted	• Develop a country and context specific tool on Measuring Decentralised Governance based on review of internationally and nationally available tools and methodologies • Engage in dialogue with local governments in adopting governance measurement processes at local levels • Conduct a pilot assessment in selected aimag and/or soums • Facilitate discussions and debates on governance issues at local levels	IPSL, Cabinet Secretariat, LGSP, Selected local governments	
Output 2 Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened	**Target for 2009-2010** Through assessment processes at central, sectoral and local levels, capacity of government agencies is increased.	• Provide training opportunities to government counterparts in conceptualisation of governance issues, research and data collection, data disaggregation and analysis by gender and social groups, database management, presenting and disseminating assessment results, engaging in dialogue with different stakeholders • Support policy advocacy campaigns for evidence based policy making • Support efforts to mainstream MDG9 in government budgets and programmes • Incorporate MDG9 into the integrated M/E system on MDGs and DevInfo. • Coordinate and liaise between donors , government agencies, CSO partners engaged in governance	IPSL, UNDP CO, OGC, Research/Academic Institutions, PMMS	National Professional Studies and training contract Travel Rental of premises Rental of transportation Audio visual productions, printing, publications, IT costs DSA-meeting participants Connectivity charges Contingency Stationary, other office supplies

				Miscellaneous
		assessments		
		• Document lessons learned and promote experience sharing among national and international partners		
		• Produce knowledge products on democratic governance		
	Targets for 2009-2010 Capacity of civil society actors to effectively engage and participate in governance assessment is increased	• Provide support to the network of NGOs for independent monitoring of MDG9 with particular focus on gender and poverty concerns • Provide specific training to NGOs aimed at increasing their research, information gathering and analysis, constructive feedback, communication, negotiation and accountability • Support NGO campaigns to ensure horizontal accountability such as open budgeting, transparency and access to information initiatives • Train the media in communicating the public on governance issues and results of governance assessments • Maintain interactive MDG9 website • Provide support to national researchers to increase their diagnostic capacity and exposure to international practices		

IV. ANNUAL WORK PLAN BUDGET SHEET

Year: 2009-2011

EXPECTED OU\TPUTS *And baseline, associated indicators and annual targets*	PLANNED ACTIVITIES *List activity results and associated actions*	TIMEFRAME					RESPONSIBLE PARTY	PLANNED BUDGET		
		1 & 2 Q 2009	3 &4 Q of 2009	1& 2 Q of 2010	3 & 4 Q of 2010	1st Q of 2011		Funding Source	Budget Description	Amount
Output 1 Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels	1.1 Conduct expert review of previously developed MDG9 indicators and verification/validation of the baseline data through a participatory process	V	V				All partners	OGC	71400- National professional salary	15,000
									72100- Studies and research contract	5,000
									74200- Audio visual productions, printing, publications	3,000
Baseline: Lack of tools and processes for country and context specific governance assessment for evidence based policy making	1.2 Prepare MDG9 part of the third national MDG report		V				IPSL, IAAC, Line Ministry, Academic institutions, CSOs	OGC	71400- National professional salary	3,000
Indicator: 1.Governance measurement tools developed and processes adopted	1.3 Conduct analysis of implications of governance on the achievements of MDG 1-7	V	V				IPSL, Parliamentary sub-committee on MDGs, Line Ministry, Research/Academic institutions, CSOs	OGC	71400- National professional salary	6,000
									72100- Studies and research contract	5,000
2. A nation-wide dialogue on MDG9 related issues and democracy assessment results facilitated and public awareness increased	1.3.1 Conduct advocacy campaign on the findings of the analysis		V				All partners	TRAC	72100- Studies and research contract	2,000
									74700-Technical assistance cost	500
									74200- Audio visual productions, printing, publications, media costs	3,000
	1.3.2 Prepare recommendations for improving methodology for data collection and a new set of indicators	V	V				IPSL, Research/Academic institutions, CSOs	OGC	72100- Studies and research contract	3,000

	Activity						Partners		Budget Description	Amount
	1.4 Select a pilot sector through a consultative process	V	V				All partners	OGC	71600- DSA-meeting participants	4,000
									74700-Technical assistance cost	100
									74700-Contingency	200
									72500-Stationary, other office supplies	700
	1.5 Develop indicators specific to the pilot sector		V				IPSL, Research/Academic institutions, IAAC, NHRCM, NSO, CSOs	OGC	72100- Studies and research contract	4,000
	1.5.1 Conduct sector specific governance assessment		V				IPSL, NSO Research/Academic institutions, CSOs	OGC	72100- Studies and research contract	5,000
									74700-Technical assistance cost	5,000
	1.5.2 Facilitate policy debates at sectoral levels and implementation of action plans to promote integrity, transparency and accountability	V		V			All partners	TRAC	71600- DSA-meeting participants	2,000
									73100- Rental of premises	500
									72100- Communication service	2,000
	1.5.3 Codify of lessons learned and promote experience sharing for scaling up in other ministries and agencies			V			IPSL, UNDP CO	OGC	74200- Audio visual productions, printing, publications, IT costs	2,000
									71600- DSA-meeting participants	2,000
									73100- Rental of premises	500
	1.6 Provide technical assistance to government agencies responsible for MDG9 reporting	V		V			IPSL, UNDP CO, OGC, SITE, PMMS	OGC	74700-Technical assistance cost	24,000
	1.7 Conduct democratic governance assessment using the new set of MDG9 indicators			V	V		IPSL, NSO Research/Academic institutions, CSOs	OGC	72100- Studies and research contract	14,000

	Activity						Responsible	Fund	Budget line	Amount
	1.7.1 Facilitate national policy dialogue on the assessment results				V		IPSL, UNDP CO	OGC	72100- Communication service	2,000
									71600- DSA-meeting participants	2,000
	1.7.2 Publicise and disseminate the results				V		IPSL	TRAC	74200- Audio visual productions, printing, publications, IT costs	4,000
									72100- Communication service	1,000
	1.8 Develop a country and context specific tool on Measuring Decentralised Governance based on review of internationally and nationally available tools and methodologies			V	V		IPSL, UNDP CO, Cabinet Secretariat, LGSP, Selected local governments	OGC	72100- Studies and research contract	3,000
									74200- Audio visual productions, printing, publications, IT costs	3,000
	1.8.2 Engage in dialogue with local governments in adopting governance measurement processes at local levels			V	V		IPSL, UNDP CO, Cabinet Secretariat, LGSP	TRAC	71600- Travel local	6,000
									73100- Rental of premises	2,000
									73400- Rental of transportation	2,000
									74200- Audio visual productions, printing, publications, IT costs	2,000
									71600- DSA-meeting participants	3,000
									74700-Contingency	1,000
									72500-Stationary, other office supplies	1,000
									74500-Sundry	400
	1.8.3 Conduct a pilot assessment in selected aimag and/or soums			V	V		IPSL, LGSP, Research/Academic Institutions, Selected local governments, CSOs	OGC	72100- Studies and research contract	10,000
	1.8.4 Facilitate discussions			V	V	V	IPSL, Cabinet	OGC	71600- Travel local	5,000

Output	Activity						Partners	Resp.	Budget line	Amount
	and debates on governance issues at local levels						Secretariat, LGSP, Selected local governments		73100- Rental of premises	1,000
									73400- Rental of transportation	1,000
									71600- DSA-meeting participants	3,000
									72500-Stationary, other office supplies	1,000
									74500-Sundry	300
Output 2 Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened **Baseline:** Lack of capacities for participatory monitoring at central and local levels **Indicator:** : Independent monitoring and reporting system on the implementation of MDG-9 established using DevInfo and institutionalized and human capacity for participatory monitoring improved	2.1 Provide training opportunities to government counterparts in conceptualisation of governance issues, research and data collection, data disaggregation and analysis by gender and social groups, database management, presenting and disseminating assessment results, engaging in dialogue with different stakeholders			V	V		IPSL, UNDP CO, OGC, Research/Academic Institutions	OGC	73100- Rental of premises	500
									73400- Rental of transportation	200
									71600- DSA-meeting participants	3,000
									72500-Stationary, other office supplies	200
									74500-Sundry	100
	2.2. Support policy advocacy campaigns for evidence based policy making			V	V	V	IPSL, UNDP CO, OGC, Research/Academic Institutions, CSOs	OGC	72100- Communication service	2,000
	2.3 Support efforts to mainstream MDG9 in government budgets and programmes				V	V	IPSL, UNDP CO, Line Ministry, Parliamentary sub-committee on MDGs	OGC	72100- Studies and research contract	3,000
	2.4 Incorporate MDG9 into the integrated M/E system on MDGs and DevInfo				V	V	IPSL, UNDP CO, PMMS	TRAC	72100- Studies and research contract	3,000
	2.5 Coordinate and liaise between donors , government agencies, CSO partners engaged in			V	V	V	All Partners	OGC	73100- Rental of premises	1,000
									73400- Rental of transportation	200
									71600- DSA-meeting participants	2,000

	governance assessments		V						72500-Stationary, other office supplies	200
									74500-Sundry	100
	2.6 Document lessons learned and promote experience sharing among national and international partners				V	V	IPSL, UNDP CO, OGC, Research/Academic Institutions	TRAC	74200- Audio visual productions, printing, publications, IT costs	6,000
	2.6.1 Produce knowledge products on democratic governance				V	V	IPSL, UNDP CO, OGC	TRAC	74200- Audio visual productions, printing, publications, IT costs	20,000
	2.7 Provide support to the network of NGOs for independent monitoring of MDG9 with particular focus on gender and poverty concerns			V	V		IPSL, UNDP CO, CSOs	OGC	72600-Grants	10,000
									74700-Technical assistance cost	2,000
	2.7.1 Provide specific training to NGOs aimed at increasing their research, information gathering and analysis, constructive feedback, communication, negotiation and accountability			V	V		IPSL, UNDP CO, CSOs	OGC	73100- Rental of premises	1,000
									73400- Rental of transportation	100
									71600- DSA-meeting participants	3,000
									72500-Stationary, other office supplies	1,000
									74500-Sundry	200
	2.7.2 Support NGO campaigns to ensure horizontal accountability such as open budgeting, transparency and access to information initiatives				V	V	IPSL, UNDP CO, CSOs	OGC	72600-Grants	5,000
									74700-Technical assistance cost	1,000
	2.8 Train the media in communicating the public on governance issues and results of governance assessments				V	V	IPSL, The Press Institute	OGC	72100- Communication service	3,000

	2.9 Maintain interactive MDG9 website	V	V	V	V	V	IPSL	TRAC	72100-Infromation technology	3,000
	2.10 Provide support to national researchers to increase their diagnostic capacity and exposure to international practices			V	V		IPSL, UNDP CO, OGC	OGC	71600-Travel to or from Mongolia	8,600
									71600- DSA-meeting participation	7,000
Project Administration	Project Administration cost	v	V	V	V	V	UNDP CO	TRAC	71400- National professional salary	34,000
	Project Evaluation				V	V	UNDP CO	OGC	71400- National professional salary	8,000
	Communication budget 1%	V	V	v	V	V	UNDP CO	OGC	74700-Technical assistance cost	3,000
	1% UNDP Advocacy	V	V	V	V	V	UNDP CO	OGC	74700-Technical assistance cost	3,000
	External ATLAS access cost	V	V	V	V	V	UNDP CO	OGC	74700-Technical assistance cost	400
TOTAL										**300,000**

V. MANAGEMENT ARRANGEMENTS

The project will be implemented by the Institute of Philosophy, Sociology and Law (IPSL) and be executed by UNDP Mongolia. As an implementing agency, the IPSL assumes overall management of the project and is responsible for the attainment of project objectives, including tasks of activity planning, the supervision of the project implementation and financial accountability; the assessment of progress and technical quality; reporting to the Executing and Funding Agencies; and participation in monitoring and evaluation. The UNDP Results Based Management Guide (RMG) will be used as a guide for the project implementation.

Project Board: The management decisions for the project will be provided by the Project Board when general guidance is required. It shall consist of the Senior Beneficiary (Government agencies, research institutes, CSOs), the Executive (Project Director of the project) and the Senior Supplier (UNDP CO). In order to ensure UNDP's accountability, the final decision making rests with UNDP in accordance with its applicable regulations, rules, policies and procedures. Project reviews by this group shall be made at designated decision points during the running of the project, or as necessary when raised by the Project Coordinator.

The Project Board contains three roles:

- Executive representing the project ownership to chair the group,
- Senior Supplier role to provide guidance on the technical feasibility of the project, and
- Senior Beneficiary role to ensure the realization of project benefits from the perspective of project beneficiaries.

Project Assurance: is the responsibility of each Project Board member. The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. It can be delegated and for this project, the UNDP Programme Officer in charge of governance portfolio will hold the Project Assurance role.
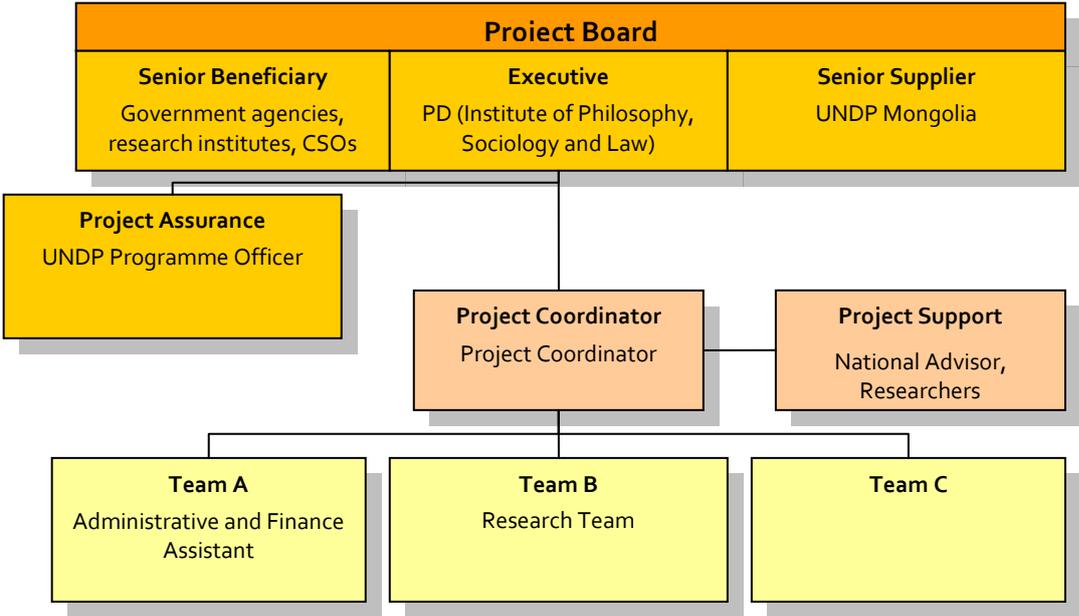
Project Coordinator: The Project Coordinator has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Project Board. The Project Coordinator's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

Project Support Team will consist of National Advisor to the project and Researchers. The National Advisor will provide policy advice and a consultation to the project team. Researchers will provide professional services to the project team such as conducting assessment, research and producing analytical reports when requested. The Project Support Team is accountable to the Project Director for their responsibilities.

Administrative and Finance Assistant will provide administrative and financial support to the Project and report directly to the Project Coordinator. Specific responsibilities include setting up financial accounting and reporting systems for the project in accordance with UNDP financial rules and procedures; assist in the preparation of financial/budgeting components of annual and quarterly work plans and other required reports.

The project will be implemented in close cooperation with UNDP assisted project on "Support the National Poverty and MDG Monitoring and Assessment System (PMMS)", currently implemented by the Ministry of Finance.

Project Organisation Structure

Project Board

Senior Beneficiary	Executive	Senior Supplier
Government agencies, research institutes, CSOs	PD (Institute of Philosophy, Sociology and Law)	UNDP Mongolia

Project Assurance
UNDP Programme Officer

Project Coordinator
Project Coordinator

Project Support
National Advisor, Researchers

Team A	Team B	Team C
Administrative and Finance Assistant	Research Team	

VI.   MONITORING FRAMEWORK AND EVALUATION

Project monitoring and evaluation will be conducted in line with the UNDP Programme and Operation Policies Procedures and on the basis of a Monitoring Framework and Evaluation to monitor achievements against intended outputs. Review meetings, involving all stakeholders, will be held in every six months from the start of the project to discuss progresses and tackle on issues faced.

On quarterly basis, the progress of the project implementation will be monitored by the following methods and tools:

➤ The Implementing Agency shall develop annual and quarterly work plans for UNDP CO clearance. It must also submit financial report as indicated in the National Execution manual.

➤ A quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.

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

➤ Based on the initial risk analysis identified (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.

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

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

Annually:

➤ **Annual Progress Report** shall be prepared by the Project Coordinator and shared with the Project Board. As minimum requirement, the Annual Progress Report shall consist of QPR elements and a summary of results achieved against pre-defined annual targets at the output level.

➤ **Annual Project Review**. Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

➤ According to UNDP procedures for NGO execution, the project may be a subject to annual financial and performance audit. UNDP Co will designate an external and an independent entity to carry out the final evaluation of the project.

Quality Management for Project Activity Results

To be completed during the process "Defining a Project". This table will be further refined during the process "Initiating a Project".

OUTPUT 1: Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels

Activity Result 1 (Atlas Activity ID)	Conduct expert review of previously developed MDG9 indicators and verification/validation of the baseline data through a participatory process	Start Date: 1st Q of 09 End Date: by 3rd Q of 09
Purpose	To update previously developed indicators reflecting changes in the society.	
Description	- Expert review on previously developed MDG9 indicators with gender and poverty sensitive approaches; - Verify baseline data	

Quality Criteria	Quality Method	Date of Assessment
Expert review is conducted and baseline data is verified with high quality	Expert review and process monitoring during the development process	By the end of 2nd Q-09

OUTPUT 1: Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels

Activity Result 2 (Atlas Activity ID)	Prepare MDG9 part of the third national MDG report	Start Date: 3rd Q of 09 End Date: 4th Q of 09
Purpose	To update the progress towards achieving MDG9 for the public	
Description	- MDG9 section will be a reflection of progress towards goal set and further information tool for the public. The report will be published.	

Quality Criteria	Quality Method	Date of Assessment
MDG9 part is developed and published	-Involve various stakeholders and reflect their opinion	By the end of 3rd Q-09

OUTPUT 1: Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels

Activity Result 3 (inc 3.1 and 3.2) (Atlas Activity ID)	Conduct analysis of implications of governance on the achievements of MDG 1-7	Start Date: 2nd Q of 09 End Date: 3rd Q of 09
Purpose	To assess governance implications on achievement of MDG1-7	
Description	Assessment will be conducted over MDG1-7 to identify the main or possible implications of governance for the best results. As an activity 3.1 advocacy campaign will be conducted on findings. As for 3.2 recommendations for improving methodology for data collection and a new set of indicators will be developed.	

Quality Criteria	Quality Method	Date of Assessment
-Analytical assessment is conducted -Advocacy campaign is successfully implemented -Recommendation is developed	-network with parties involved in the implementation of MDG1-7 -expert review on the assessment to develop recommendations	By the end of 3rd Q-09

OUTPUT 1: Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels

Activity Result 4	Select a pilot sector through a consultative process	Start Date: 1st Q of 09

(Atlas Activity ID)		End Date: by 3rd Q of 09
Purpose	To select a sector for governance assessment	
Description	Involving all stakeholders, selection of sector to be assessed will be identified	

Quality Criteria	**Quality Method**	**Date of Assessment**
A sector where governance assessment is really needed is defined	Conduct selection process through a highly participatory methos	By the end of 3rd Q-09

OUTPUT 1: Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels

Activity Result 5 **(inc 5.1-5.3)** **(Atlas Activity ID)**	Develop indicators specific to the pilot sector	Start Date: 3rd Q of 09 End Date: 4th Q of 09
Purpose	Sector specific indicators developed, assessment is conducted and policy debates are organized to promote transparency and accountability	
Description	Following the development of indicators, the sectoral assessment will be conducted to review governance performance. Policy dialogues and debates will be conducted based on the assessment results to promote integrity, transparency and accountability.	

Quality Criteria	**Quality Method**	**Date of Assessment**
-sector specific indicators developed -assessment is conducted -assessment findings are accepted through policy debates	-develop country and sector specific indicators -conduct assessment with a high quality -involve relevant parties in the policy debate	By the end of 4th Q-09

OUTPUT 1: Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels

Activity Result 6 **(Atlas Activity ID)**	Provide technical assistance to government agencies responsible for MDG9 reporting	Start Date: 4th Q of 2009 End Date: 2nd Q of 2010
Purpose	To build capacities of the relevant parties in reporting and analysing data related to MDG9	
Description	The activity will be conducted through conducting local or overseas training	

Quality Criteria	**Quality Method**	**Date of Assessment**
-Capacities of relevant parties in reporting of MDG9 is improved -A quality of reports received is improved	- Conduct training, workshop	By the end of 2nd Q-10

OUTPUT 1: Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels

Activity Result 7 **(inc 7.1, 7.2)** **(Atlas Activity ID)**	Conduct democratic governance assessment using the new set of MDG9 indicators and results are publicly disseminated	Start Date: 1st Q of 2010 End Date: 4th Q of 2010
Purpose	To measure governance performance in selected sector	
Description	Assessment will be conducted to update state of democracy in selected area and in	

	selected sector. National policy dialogue will be conducted to discuss results from the assessment and publicly disseminated.	
Quality Criteria -assessment is conducted successfully -results are discussed for fine-tuning -results are disseminated to the public	**Quality Method** -Assessment methodology is country and context specific -involve relevant stakeholders in the dialogue	**Date of Assessment** By the end of 4th Q-10

OUTPUT 1: Democratic governance assessments carried out for evidence based policy making at central, sectoral and local levels

Activity Result 8 (inc 8.1-8.4) **(Atlas Activity ID)**	Develop a country and context specific tool on Measuring Decentralised Governance, engage in dialogue with local governments in adopting governance measurement processes, conduct a pilot assessment in selected aimag and facilitate discussions and debates in local levels	Start Date: 1st Q of 2010 End Date: 1st Q of 2011
Purpose	To develop an assessment tool for local governance assessment and conduct assessment in a pilot aimag	
Description	Country and context specific tool on Measuring Decentralised Governance in local level will be developed and advocated to be used in local governance assessment. Debates and dialogues will be conducted for common understanding of the tool and contextualization	
Quality Criteria -Tool on measuring decentralized governance is developed -Tools is adopted in local governance assessment; - assessment is conducted in a pilot aimag	**Quality Method** -Contextualize and review peculiarities of the country in development of tools -Create common understanding over governance assessment among local officials and residents	**Date of Assessment** By the end 4th Q-10

OUTPUT 2: Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened

Activity Result 1 **(Atlas Activity ID)**	Provide training opportunities to government counterparts in conceptualisation of governance issues, research and data collection, data disaggregation and analysis by gender and social groups, database management, presenting and disseminating assessment results, engaging in dialogue with different stakeholders	Start Date: 1st Q of 2010 End Date: by 2nd Q of 2010
Purpose	To share experience and learn from best practices, initiatives in the area	
Description	Key players in governance assessment process will travel to a country where similar initiative brought success	
Quality Criteria -Professional network among participants established -Capacity in utilizing MDG9 indicators is strengthened	**Quality Method** -Select the best choice of country to travel and participants who are willing to contribute upon arrival	**Date of Assessment** By the end of 2nd Q-10

OUTPUT 2: Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened

Activity Result 2 **(Atlas Activity ID)**	Support policy advocacy campaigns for evidence based policy making	Start Date: 1st Q of 2010 End Date: 1st Q of 2011

Purpose	To advocate for MDG9 related data is used in policy making
Description	A campaign will promote evidence based policy making by using data, reports, and knowledge products produced by official reporting agencies.

Quality Criteria	Quality Method	Date of Assessment
MDG9 relevant data and report are considered credible and used in policy making	Capacity of reporting bodies on MDG9 data is strengthened	By the end of 4th Q-10

OUTPUT 2: Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened

Activity Result 3 (Atlas Activity ID)	Support efforts to mainstream MDG9 in government budgets and programmes	Start Date: 3rd Q of 2010 End Date: 1st Q of 2011
Purpose	To support initiatives of PMMS project to budget MDG costing in relevant ministry's portfolio	
Description	The project will work closely with the PMMS project as well as the MOF in this activity	

Quality Criteria	Quality Method	Date of Assessment
MDG9 budget is mainstreamed in line ministry's portfolio	-Facilitation and negotiation over the issue with the MOF	By the end of 4th Q-10

OUTPUT 2: Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened

Activity Result 4 (Atlas Activity ID)	Incorporate MDG9 into the integrated M/E system on MDGs and DevInfo	Start Date: 3rd Q of 2010 End Date: 1st Q of 2011
Purpose	To establish an independent M/E system on MDG9 and database on DevInfo	
Description	The project will work closely with the PMMS project as well as other stakeholders in incorporating MDG9 into an integrated M/E system of MDGs	

Quality Criteria	Quality Method	Date of Assessment
MDG9 is integrated into the main M/E system	Further discussions with PMMS and MOF in regard to M/E system	By the end of 4th Q-10

OUTPUT 2: Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened

Activity Result 5 (Atlas Activity ID)	Coordinate and liaise between donors , government agencies, CSO partners engaged in governance assessments	Start Date: 1st Q of 2010 End Date: 1st Q of 2011
Purpose	To cooperated with stakeholders in the relevant field for better results	
Description	The project will try aligning its activities with projects and programmes implemented by UNDP and other organisations for better coordination and less duplication of work	

Quality Criteria	Quality Method	Date of Assessment
Coordination of work and network of practice is created	Raise interest and engagement of partners	By the end of 4th Q-10

OUTPUT 2: Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened

Activity Result 6 (inc 6.1) (Atlas Activity ID)	Document lessons learned and promote experience sharing among national and international partners and produce knowledge products	Start Date: 3rd Q of 2010 End Date: 1st Q of 2011
Purpose	To document lessons learned, share experience with stakeholders and to raise public awareness	
Description	The project will Document lessons learned and promote experience sharing among national and international partners. Production of knowledge product will help raising the public awareness around the topic	

Quality Criteria	Quality Method	Date of Assessment
Production of documentation and knowledge products	Document lessons learned for further sharing	By the end of 4th Q-10

OUTPUT 2: Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened

Activity Result 7 (inc 7.1, 7.2) (Atlas Activity ID)	Provide support/training to the network of NGOs for independent monitoring of MDG9 with particular focus on gender and poverty concerns	Start Date: 1st Q of 2010 End Date: 1st Q of 2011
Purpose	To strengthen capacities of CSOs in monitoring implementation of MDG9, in data gathering, analysis and dissemination as well as in ensuring accountability in budgeting	
Description	The project will conduct specific training to NGOs aimed at increasing their research, information gathering and analysis, constructive feedback, communication, negotiation and accountability	

Quality Criteria	Quality Method	Date of Assessment
Capacities of CSOs in stated area is improved	Identification of needs and areas of concerns	By the end of 4th Q-10

OUTPUT 2: Capacities of national stakeholders for monitoring and implementation of MDG9 strengthened

VII. LEGAL CONTEXT

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

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

The implementing partner shall:

a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

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

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

ANNEX 1: RISK ANALYSIS

(to be further refined during the defining and running of the project)

Project Title: Support in Achieving MDG9 on HR and Democratic Governance	Award ID:	Date: 14 Feb, 09

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Indicators are not country specific	14 Feb, 09	Operational	P=2	Review and assessment of country's state of democratic governance, reflect expert's view during the development process	PO			
2	Lack of participation, commitment from governmental institutions	14 Feb, 09	Political/Strategic	P =3	Raise commitment and understanding of stakeholders around the topic	PO, PM			
3	Governance data collected, analysed by CSOs is poorly recognized as a credible source of information	14 Feb, 09	Strategic	P =2	Strengthen capacities of the CSOs in governance data collection, analysis and dissemination	PM, PO			
4	Resistance in using MDG9 indicators in local development	14 Feb, 09	Political/Strategic	P=1	Engage local governments in policy dialogue and build capacity through assessment processes	PO			