

Project document format for projects outside a CPAP

United Nations Development Programme
Government of the People's Republic of China

Project Document

**Support to the Development of a Governance Assessment Framework in
China**

Brief Description of the Project

China's development policies have recently witnessed a shift from a growth model to emphasis on equity, inclusion, and balanced development. UNDP China would like to support this policy shift, taking this opportunity to strengthen the national discussion of key components of good governance. While indicators for measuring performance in terms of economic growth and environmental protection are relatively well developed, there exists a significant disconnect in the governance aspect. In order to assess progress in the response to the policy shift outlined above, there is a need to develop a China-specific framework on which governance indicators can later be based. This project introduces international knowledge and best practices to start the process of proposing a governance performance assessment framework feasible to China, and it will also create a community of like-minded national experts on governance assessments.

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UNDAF Outcome:	Outcome 1: Social and economic policies are developed and improved to be more scientifically-based and human centers for sustainable and equitable growth
CP Component:	Achieving the MDGs and reducing human poverty
CP Outcome:	3. Enabling environment for civil society participation and its effective engagement in Xiaokang ¹ priority issues supported 4. Rule of law strengthened to protect human rights of all, especially the poor and the disadvantaged groups
CP Output:	3.2 Increased participation of civil society in the design and implementation of development policies/programmes 4.1 Poor and disadvantaged groups empowered to seek remedies for injustices, and justice institutions enabled to be responsive to claims, consistent with international human rights norms
Management Arrangement:	National Execution (NEX)
Implementing Partner:	China International Center for Economic and Technical Exchanges (CICETE)
Cooperating Agency:	China Centre for Comparative Politics and Economics (CCCPE)

Country Programme Period: 2006-2010
Project Full Title: Support to the Development of a Governance Assessment Framework in China
Project Short Title: Governance Assessment
Award ID: 00049143
Project ID: 00059712
Project Duration: 2008
Project Site(s): Beijing

Total Project Budget:	US\$ 200,000
(a) <u>Allocated resources:</u>	
UNDP (DGTTF):	US\$ 200,000

¹ “Xiaokang” is the Chinese government’s vision of an all-around well-off society

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<u>Agreed by</u>	<u>Name/Title/Agency</u>	<u>Signature</u>	<u>Date</u>
Government Implementing Partner:			
Cooperating Agency:	_____	_____	_____
UNDP:	_____	_____	_____
	_____	_____	_____

COMPONENT 2: SITUATION ANALYSIS

China's recent development policies have witnessed a shift from a growth model to a model incorporating equity, inclusion, and balanced development. This emphasis on making social, political and economic development more equitable, balanced and sustainable raises new demands on the government's capacity and understanding of good governance. While assessments and indicators for measuring performance in terms of economic growth and environmental protection are relatively well developed, there exists a significant disconnect in the governance aspect.

There has been a certain level of research, dialogue and interventions on the evaluation of government performance assessments in China. For example, this project's cooperating agency, China Center for Comparative Politics and Economics (CCCPE), has created a series of indicators and criteria for assessing local government innovations, which after 6 years' of implementation has generated extensive and positive effects and feedback domestically and internationally.

Governance performance assessment are an excellent starting point to support the government's efforts to improve governance, but covers only one aspect of governance, and excludes important components such as the participation of civil society, gender equity, the private sector and government transparency. To date, the only published research paper available to the public on this broader topic of governance assessment is Professor Yu Keping's "Toward Incremental Democracy and Governance: Chinese Theories and Assessment Criteria", in *New Political Science* (USA). Internationally, there exists a plethora of theories, models and frameworks for governance assessments, including components such as legitimacy, participation, transparency, accountability, rule of law, responsiveness, effectiveness, equality, anti-corruption and stability. For example, the United Nations has proposed an indicator system for democratic governance; both the World Bank and Organization for Economic Cooperation and Development (OECD) have published a series of assessment indicator systems for global governance; and the John F. Kennedy School of Government at Harvard University is conducting research on global governance assessments.

There is therefore a need to develop a China-specific governance assessment framework on which governance indicators can later be based in order to assess progress in the response to the policy shift outlined above. This project will provide international knowledge and best practices to support the process of developing a governance performance assessment framework feasible to China, and it will also create a community of like-minded national experts on governance assessments.

UNDP China would like to support this policy shift towards a more comprehensive view on development and governance, taking this opportunity to strengthen national discussion of key components of good governance. The development of a China-specific draft governance performance assessment framework will contribute to strengthening public administration capacity and realize the goals of more equitable governance at all levels.

COMPONENT 3: STRATEGY

The main objective of this project is to build a broad consensus on governance assessment and establish a governance assessment framework in accordance with the realities of political development in China and based on international latest research works on governance assessments. The long-term objective of the China CO is to support the Chinese government in developing and assessing governance indicators. This first step in 2008 is to facilitate the drafting of an initial governance assessment framework. This project will achieve this by:

1. Supporting knowledge-sharing of best practice and experiences in governance assessments from initiatives supported by UNDP and other international development agencies;
2. Facilitating a consultative and participatory process to identify key issues for governance assessment suitable to China's development priorities, and develop a nationally owned draft framework for governance assessment in China;
3. Building consensus among national stakeholders on the draft framework for governance assessment in China.

Our main partner for this project is China Centre for Comparative Politics and Economics (CCCPE), a key government think tank. The CCCPE runs an initiative on adopting innovative reform for better local governance performance, which provides the project with the infrastructure to pilot the draft governance assessment framework in the future. Furthermore, CCCPE has the network to draw upon a large and diverse group of academics, government officials and CSO partners to ensure that all stakeholders are involved in the assessment debates and the process of drafting the governance assessment in participatory. It is envisaged that UNDP, and in particular the UNDP Oslo Governance Centre, will work closely with the CCCPE by providing access to knowledge products, international experiences and in-depth knowledge of the development of similar assessments in other countries. A small delegation from CCCPE will visit the OGC during the lifetime of the project, and OGC project manager(s) will be invited to attend the international workshop(s), and also spend some extra days working with the CCCPE team in developing the assessment. In addition, UNDP will provide the linkages to its ongoing work in this area, such as the identification of governance indicators aligned with the MDGs, and the 2007 China National Human Development Report on public service delivery which contains 8 key recommendations, 5 of which are core governance issues. Linkages with other thematic areas, such as environmental governance, governance and HIV/AIDS, as well as private-public partnerships, will also be explored.

Gender equality is inextricably linked to good governance, since women make up half of the population but have historically been under-represented and discriminated against. A gendered analysis of governance processes reveals that men and women do not always share the same needs and perspectives, and this highlights the issue of unbalanced participation and representation at all levels of governance. Ensuring gender equality is not only an issue of justice and equality, it is also connected to the credibility and accountability of government structures, and to the efficiency and effectiveness of government serving all its citizens. China has demonstrated its political will to implement its commitment to gender equality through the adoption of a number of national plans and programmes on the advancement of women, as well as through following the reporting requirements under the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), Beijing Platform for Action, and the Millennium Development Goals (MDGs). Making gender equality a reality is a core commitment of UNDP, and along with most other UN agencies and development actors, UNDP

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has adopted gender mainstreaming to promote gender equality throughout its work. The UN defines gender mainstreaming as “The process of assessing the implications for women and men any planned action, including legislation, policies and programmes, in all areas and at all levels. It is a strategy for making women as well as men’s concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated.” This project will therefore endeavour to mainstream gender into the planning, implementation, monitoring and evaluation of all project activities, as well as in the institutional framework of its implementation. Incorporating a gender expert into the Thematic Task Force will strengthen the gender lens of the research carried out, and mitigate against the pitfall of a “gender blind” draft governance assessment.

The direct beneficiaries of this project will be the end users of governance assessments; development policy makers and institutions. The ultimate beneficiaries will be the Chinese government which will benefit from this tool to improve the multiple aspects of governance, and the Chinese people who will benefit from a more participatory, transparent and comprehensive framework for governance. The capacity of the project implementers and participants will be increased through the execution of specific research projects on Chinese governance situation, and through the links with international experiences and lessons learned.

The main outputs will be:

1. The latest knowledge products relevant to international best practice and thinking on governance assessment translated and shared with the Chinese target audience (government officials, academics, civil society organisations);
2. Background papers and original research (field studies and surveys) on the key components of governance assessment and the Chinese context produced to feed into the workshops and seminars on the development of the governance assessment framework. These papers will for example highlight issues such as the need for governance assessments to be gender- and poverty-sensitive, and to be the result of national ownership.
3. National and international workshops held to bring together major stakeholders such as academics, government officials, CSOs, and international development agencies to discuss key components of governance assessment frameworks;
4. A draft framework for governance assessment developed and disseminated to all stakeholders;
5. A dissemination report containing the draft governance assessment and the results of the project as a whole, to be published in academic journals, in the media for awareness raising and outreach, and through internal channels to political leaders to advocate for the assessment’s wider application.

COMPONENT 4: RESULTS AND RESOURCES FRAMEWORK

Complete the table below for the outcome that the project is designed to address.

Intended Outcome as stated in the Country/ Regional/ Global Programme Results and Resource Framework:				
3. Enabling environment for civil society participation and its effective engagement in Xiaokang ² priority issues supported				
4. Rule of law strengthened to protect human rights of all, especially the poor and the disadvantaged groups				
Outcome indicators as stated in the Country/ Regional/ Global Programme Results and Resources Framework, including baseline and targets.				
3.2 Increased participation of civil society in the design and implementation of development policies/programmes				
4.1 Poor and disadvantaged groups empowered to seek remedies for injustices, and justice institutions enabled to be responsive to claims, consistent with international human rights norms				
Partnership Strategy: This project’s implementing partner is CICETE, and the cooperating agency is the China Center for Comparative Politics and Economics (CCCPE). The CCCPE, a government think tank, will draw on their wide network in building consensus on governance assessments in China, and produce a draft assessment framework. In addition, the Oslo Governance Centre who has extensive expertise and experience in the development of governance assessments and indicators, have been involved in the project formulation, and will also be involved in the project activities to ensure that linkages with UNDP resources and lessons learned are incorporated.				
Project title and ID (ATLAS Award ID):				
Title: Support to the Development of a Governance Assessment Framework in China				
ID: 00049143				
Intended Outputs	Output Targets for (years)	Indicative Activities	Responsible parties	Inputs
1.1. Relevant knowledge products translated and shared with the target audience;	2008	1.1.1. Compile and translate relevant materials from foreign sources	CCCPE	\$15,000
		1.1.2. Collect and screen relevant domestic materials		\$10,000
		1.1.3. Conduct a study tour to Oslo Governance		\$25,000

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		Centre to collect relevant materials, learn about governance assessment experiences from other countries, and build professional partnerships		
1.2. Background papers and original research on key components of governance assessment produced and fed into dialogue process;	1.2.1	Commission papers and research on the Chinese situation at central and local levels	CCCPE	\$40,000
	1.2.2	Translate papers and research into English for international conference	CCCPE	\$5,000
1.3. National and international workshops held to bring together major stakeholders to discuss key components of governance assessment frameworks;	1.3.1	Four national seminars	CCCPE	\$40,000
1.4. Draft framework for governance assessment developed and disseminated to all stakeholders;	1.4.1	Invite experts on governance research to advice on the drafting process	CCCPE	\$25,000
	1.4.2	Arrange international conference on governance assessments		\$30,000
1.5. Monitoring and Evaluation of project outputs			UNDP and CICETE	\$5,000
1.6. Communications and Advocacy				\$5,000



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Annual Work Plan

China - Beijing

Award Id: 00049143

Report Date: 27/1/2008

Award Title: support to the development of a Governance Assessment

Year: 2008

Project ID	Expected Outputs	Key Activities	Timeframe		Responsible Party	Planned Budget				
			Start	End		Fund	Donor	Budget Descr	Amount US\$	
00059712	support to the development of	1.Knowledge-sharing w/t			CPR-China International Centre	20000	UNDP	71200	International Consultants	10,000.00
					CPR-China International Centre	20000	UNDP	71300	Local Consultants	10,000.00
					CPR-China International Centre	20000	UNDP	71600	Travel	15,000.00
					CPR-China International Centre	20000	UNDP	74500	Miscellaneous Expenses	15,000.00
		2. background paper and			CPR-China International Centre	20000	UNDP	71200	International Consultants	10,000.00
					CPR-China International Centre	20000	UNDP	71300	Local Consultants	20,000.00
					CPR-China International Centre	20000	UNDP	74500	Miscellaneous Expenses	15,000.00
		3. National and int'l			CPR-China International Centre	20000	UNDP	71200	International Consultants	10,000.00
					CPR-China International Centre	20000	UNDP	71300	Local Consultants	20,000.00
					CPR-China International Centre	20000	UNDP	74500	Miscellaneous Expenses	10,000.00
		4. draft framework for			CPR-China International Centre	20000	UNDP	71200	International Consultants	25,000.00
					CPR-China International Centre	20000	UNDP	71300	Local Consultants	20,000.00
					CPR-China International Centre	20000	UNDP	71600	Travel	5,000.00
					CPR-China International Centre	20000	UNDP	74500	Miscellaneous Expenses	5,000.00
		5. monitor and evaluation			CPR-China International Centre	20000	UNDP	74100	Professional Services	2,000.00
					CPR-China International Centre	20000	UNDP	74500	Miscellaneous Expenses	3,000.00
		6. communication and			CPR-China International Centre	20000	UNDP	74500	Miscellaneous Expenses	5,000.00
		TOTAL								
GRAND TOTAL									200,000.00	

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COMPONENT 6: MANAGEMENT ARRANGEMENTS *(minimum one paragraph, suggested maximum two pages)*

The China International Center for Economic and Technical Exchanges (CICETE) is nominated by the Ministry of Commerce of China (MOFCOM) as the Government Coordinating Agency and Executing Agency directly responsible for the Government's participation in the Annual Work Plan (AWP) of this project. The AWP describes the specific results to be achieved and will form the basic agreement between UNDP and the Executing Agency on the use of resources. CICETE as the Executing Agency is responsible and accountable for managing the project, achieving the project outputs, and for the effective use of UNDP resources. More specifically, as National Executing Agency (NEA), CICETE will assume responsibilities specified in the national executing (NEX) manual, viz. ensuring that the Implementing Agency, CCCPE, produces a clear and updated work plan; that inputs are mobilized as required by the project authority and that the related outputs are produced according to the project objectives and related work plan, and that NEX rules and regulations are followed on the use of project funds, particularly for procurement.

CCCPE is the implementing agency for this project. Accordingly, it is accountable to the NEA and UNDP for implementing the spirit of the project document to the best of its ability. More specifically, CCCPE is responsible for nominating a National Project Director (NPD) and a National Project Manager (NPM) for the project, both of which will be approved by the Project Board at its first meeting. CCCPE is also responsible for establishing a Project Management Office (PMO) at its premises.

UNDP is signatory to this project and is responsible for making funds available under approved budget items and ensuring compliance with UNDP policies on use of project funds. UNDP will support the NEA upon request throughout the project cycle including orienting and training national project personnel at the outset. UNDP will ensure the introduction of the most suitable international practices on the subject of this project in cooperation with its partner UN Agencies and donor(s) of this project. Finally UNDP will help in arranging and monitoring the project's intended results and its evaluation.

Project Board

- The Project Board is responsible for making consensus management decisions for a project.
- In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that ensure best value for money, fairness, integrity, transparency and effective international competition.
- The Project Board will review and approve the Annual Work Plan proposed by the PMO.
- Project reviews by this group are made at designated decision points during the life of the project, and whenever requested by the Project Manager.
- The members of the Project Board will be recommended for approval during the PAC meeting.
- The Project Board will at a minimum include the NPD (and sometimes the national project manager (NPM)), the UNDP Programme Manager, and the CICETE Programme Manager.
- Other stakeholders and experts may participate in the Project Board as appropriate.

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- The Project Board will meet every 6 months to review progress and discuss any upcoming issues, and whenever requested by the Project Manager.
- The Project Board will meet as soon as possible after the project document has been signed in order to review and approve the first Annual Work Plan.

Project Management Office (PMO)

- The PMO is responsible for the organizing of each activity guided by the National Project Director (NPD).
- The NPD is responsible for the day-to-day operation of this project. NPD will guide the implementation of each activity, overview all the documents to UNDP and CCCPE, and sign on it when necessary.
- The PMO is also responsible for the preparation of all documents to UNDP and CICETE, such as Annual Project Report (APR), Annual Work Plan (AWP) etc.
- The PMO is composed of at least 2 members, one national project manager (NPM) and another one staff.

Thematic Task Force:

The project will establish a Thematic Task Force consisting of experts and practitioners in the field of governance, gender, public administration, and public participation to guide the development of the governance assessment, to provide relevant inputs to discussions, and to draw on an even wider circle of participants for the national and international workshops. In recruiting members to the Advisory Group, attention will be paid to balanced gender representation and to diversity in experience and views, drawing both on CCCPE's own strengths but also partnering with other institutions.

Preliminary suggested members of the Thematic Task Force include:

- Professor Yu Keping (Director of CCCPE), overall responsibility
- Professor He Zengke (Executive Director of CCCPE), **political transparency and anti-corruption.**
- Professor ZhuoYue (Director of the Program “Government Performance Assessment”, College of Public Affairs, Xiamen University), Professor Hu Shuigen (Director of Research Centre for Government Performance Assessment, Zhejiang University), Professor Wu Jiannan (Director of Centre for Performance Management, Xi’an Jiaotong University), **government performance.**
- Professor Ding Yuanzhu (Senior Researcher at Academy of Macroeconomic Research of State Development and Reform Commission), **public services.**
- Doctor Jia Xijin, Gender Expert (Deputy Director of NGO Research Centre, Tsinghua University), **gender.**
- Professor Hu Angang (Director of China Country Situation Research Center, Tsinghua University), Mr. Wan Donghua (National Statistics Bureau), Mr. Zhu Baoliang (National Economic Information Office, Macro Economy Department), Professor Mao Yushi (Director of Tianze Research Center), Professor Zhou Ye’an (Renmin University), **democracy, rule of law and social justice.**
- Doctor Zhou Hongyun (Associate Professor, CCCPE), **public participation.**
- Doctor Chen Jiagang (Associate Professor, CCCPE), **government accountability.**
- Doctor Bao Yajun (Associate Professor, CCCPE), **political stability.**

7. MONITORING AND EVALUATION

Monitoring and evaluation (M&E) of the project will be undertaken in line with the UNDAF results matrix and monitoring and evaluation plan, as well as the UNDP Country Programme Results Framework. Project monitoring and evaluation will be conducted with focus on outcomes and outputs of interventions, institutional results and partnerships, policy advice and dialogue, advocacy and coordination.

The Implementing Partner (CICETE) will submit to UNDP an Annual Project Review, including the Annual Work Plan Monitoring Tool. The Cooperating Agency (CCCPE) will submit to the Implementing Partner, and copying UNDP, quarterly project reports. It is imperative that progress reports not only focus on the project itself, but relates achievements, issues, changes and risk development. The attached logs (Risk, Issues, and Lessons Learned) must be continuously updated by the Implementing Partner based on feedback from the Cooperating Agency, and submitted along with the quarterly as well as the final report.

Monitoring visits to attend project activities will be conducted by UNDP and CICETE, to assess project progress and results through consultations with relevant stakeholders and beneficiaries.

The final review meeting at the end of the project will review the final report. It shall be prepared in draft at least two months prior to the meeting.

The project shall be subject to an Outcome Evaluation to be conducted with a cluster of projects that share a common Strategic Results Framework (SRF) outcome.

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The Annual Work Plan (AWP) Monitoring Tool

Year _____

CP Component _____

Executing Entity _____

EXPECTED OUTPUTS AND INDICATORS including annual targets	PLANNED ACTIVITIES <i>List all the activities including monitoring and evaluation activities to be undertaken during the year towards stated CP outputs</i>	EXPENDITURES <i>List actual expenditures against activities completed</i>	RESULTS OF ACTIVITIES <i>For each activity, state the results of the activity</i>	PROGRESS TOWARDS ACHIEVING OUTPUTS Using data on annual indicator targets, state progress towards achieving the CP outputs. Where relevant, comment on factors that facilitated and/or constrained achievement of results including: <ul style="list-style-type: none"> ▪ <i>Whether risks and assumptions as identified in the CP M&E Framework materialized or whether new risks emerged</i> ▪ <i>Internal factors such as timing of inputs and activities, quality of products and services, coordination and/or other management issues</i>
OUTPUT 1: INDICATOR 1.1 WITH TARGET FOR THE YEAR: INDICATOR 1.2 WITH TARGET FOR THE YEAR: INDICATOR 1.3 WITH TARGET FOR THE YEAR:				
OUTPUT 2: INDICATOR 2.1 WITH TARGET FOR THE YEAR: ETC.				

COMPONENT 8: LEGAL CONTEXT

This program document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of the People's Republic of China and the United Nations Development Programme signed on June 29, 1979. The host country implementation agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government cooperating agency described in that agreement.

COMPONENT 9: ANNEXES

Risk Log

Date of revision:

Award Title:

Award ID:

Project Title:

Promoting Governance Assessment in China

Project ID:

ID	Description	Category	Impact & Probability	Countermeasures / Management response	Owner	Author	Date Identified	Last Update	Status
01	Coordination challenges between CCCPE, CICETE and UNDP	<ul style="list-style-type: none"> ▪ Operational 	Affect the operational efficiency of the project., and increase the interaction costs	The three organizations involved will all follow the implementation, reporting and financial	Who has been appointed to keep an eye on this risk	Who submitted the risk	When was the risk first identified	When was the status of the risk last checked	e.g. dead, reducing, increasing, no change

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			P = 1 Impact: High	procedures, and strive to plan well ahead and keep communications open					
02	Quality of specific project outputs	<ul style="list-style-type: none"> ▪ Strategic 	Hinder the implementation of the research results of the project P = 1 Impact: High	CCCPE will work closely with the Thematic Task Force on all studies commissioned and on making sure the level of discussions at workshops and seminars is high					
03	Budget restrictions	<ul style="list-style-type: none"> ▪ Financial 	Will limit the outputs and outcome of the project P = 2 Impact: Medium	The Implementing Agency will keep an eye of the budget at all times					
04	Gender is not mainstreamed in the research and in the final	<ul style="list-style-type: none"> ▪ Strategic 	Will make the final output, the draft governance assessment, incomplete P = 2	Gender expert included in the Thematic Task Force, Oslo Governance Centre involved in project					

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	assessment framework		Impact: High P =	implementation, and UNDP/CICETE will monitor all project activities for gender balance					
05		<ul style="list-style-type: none"> ▪ Environmental ▪ Financial ▪ Operational ▪ Organizational ▪ Political ▪ Regulatory ▪ Security ▪ Strategic ▪ Other 	P =						

Issue Log

Date of revision:

Award Title:

Award ID:

Project Title:

Project ID:

ID	Type	Date Identified	Description and Comments	Status	Status Change Date	Author
01						
02						
03						
04						
05						
06						

Lessons Learned Log

Date of revision:

Award Title:

Award ID:

Project Title:

Project ID:

ID	Date logged	Type	Description	Recommendation
01	01/01/2004	Good	P2 worked as capacity building method	Should have P2 foundation as part of project initiation to standardize project management method
02	01/10/2006	Bad	Congress did not pass the legislation on gender balance	Should involve and sensitize political party members prior to discussion, premature discussion in congress itself yielded non productive discussion
03				
04				
05				
06				

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