

## SIGNATURE PAGE OF THE REGIONAL PROJECT DOCUMENT

Expected Outcome(s): National capacity increased to promote and protect human rights through justice, oversight and redress mechanisms.

Expected Output(s):

Output 1: Rejuvenated regional parliamentary network that focuses on security sector oversight active on sub-regional level in the CIS

Output 2: Consensus on enhanced democratic oversight of the security sector fostered among key stakeholders in the CIS region, including through advocacy on the human security concept

Output 3: Capacities of civilian experts on security sector issues, including understanding of human security and human rights, increased in the CIS region

Output 4: Capacity development support for security sector oversight available at national level for parliaments and civil society

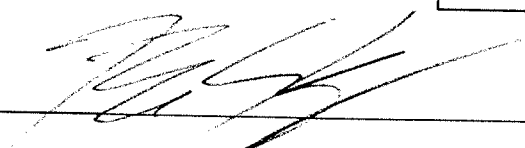
Output 5: Regional project managed effectively, efficiently and according to UNDP rules

Implementing partner: DEX

Responsible parties: UNDP Regional Centre Bratislava  
Select UNDP COs from the RBEC Region

Programme Period:	2006-2010
Programme Component:	Democratic Governance
Project Title:	PROGRESS
Project ID:	49412
Project Duration:	2006-2009
Management Arrangement:	DEX

Budget 2006	US\$
GMS	transaction
Total budget:	<b>410,000</b>
Allocated resources:	<b>340,000</b>
• Government	0
• Regular TRAC (CPR +DG)	40,000
• Other: TTF CPR	300,000
• In kind contributions	0
• Unfunded budget:	<b>70,000</b>
Estimated Budget 2007-09	
Total estimated budget:	1,200000
Allocated resources:	0
Unfunded budget:	1.200000

Agreed by (UNDP): 

**United Nations Development Programme**  
Regional Project Document

**PROGRESS**  
**PRomoting Oversight and Greater Regional Engagement on the Security Sector**

Brief description

In many countries of the region, security services have been run inefficiently and without systems of democratic accountability. The “war on terrorism” has attracted extensive attention to the security sector, but it has also hindered public scrutiny, civilian control and the promotion and protection of human rights. Technical assistance provided on security issues often fails to adequately address human security concerns and key governance aspects. Growing tensions between security services and communities amount to a threat to peace and stability in some parts of the region.

Building on the recommendations from a roundtable of parliamentarians from the CIS region, held in Prague in October 2005, and baseline research that sought input from civil society institutions, this project is launched to:

- strengthen democratic oversight of the security sector;
- enhance the understanding of and national support for human security; and
- reduce conflicts over security issues.

## Section I

### Situation Analysis

The concentration of power in the executive branch of government, coupled with the relative institutional weakness of the legislative branch and civil society creates a major challenge for democratic control of security forces in the ECIS region. As a result of insufficient legislative oversight and a weak justice sector, poor people and other vulnerable groups may be victimised by incapable, corrupt or indifferent security officials. More generally, growing tensions between security services and communities amount to a threat to peace and stability in some parts of the region.

Although there is an increasing focus on security sector reform in the region, assistance provided in the security sector often fails to adequately address key governance aspects. Reforms risk being donor-driven and often tend to focus on the executive, with parliaments and the public at large only marginally involved. Moreover, 'reform' assistance often focuses solely on 'military to military assistance', reinforcing the competence of the instruments at the disposal of an executive while not addressing accountability and human rights issues. The "war on terrorism" has attracted extensive attention to the security sector, but it has also hindered public scrutiny, civilian control and the promotion and protection of human rights.

In many countries of the region, security services have been run inefficiently and without systems of democratic accountability. There are not only cases of human rights abuses committed by security agencies, but also human rights abuses within the uniformed forces. In some countries, public corruption has been fostered at every level in the security sector, leading to bloated defence and security budgets and the loss of high-value, and often dangerous items. The causes of corruption in the security sector include the longstanding and continuing concentration of power in executive branches of the state, an absence of governance checks and balances, insufficient legislation and a lack of accountability mechanisms.

Not only weak legal frameworks challenge effective control: Parliamentarians and civil society actors often also lack substantive expertise on security issues, especially human security. The lack of expertise within oversight bodies and watchdog institutions implies that even existing oversight mandates are not always carried out professionally. Furthermore, a lack of expertise can contribute to misunderstandings, tensions and adversarial relations between parliamentarians, representatives of Interior/ Defence Ministries, the uniformed forces and civil society.

A regional roundtable of parliamentarians from the CIS region held in Prague in October 2005 showed that most parliamentarians equate security with national defence: the concept of human security is not well understood. Participants' understanding of security seemed largely rooted in the idea of secrecy rather than in that of common good. Considerable efforts are needed to further an understanding of the human dimension of security, including the gender aspects and linkages between human security and human rights.

## Part II. Strategy

As a multi-sectoral issue, security requires effective collaboration across the civilian-military divide. Enhanced capacity among parliamentarians and civil society actors is a prerequisite for effective control, fruitful dialogue and collaboration between civilian representatives and uniformed forces. Exchange should not only be cross-sectoral in nature, a regional dimension is equally important. Legislative and civil society development in the countries concerned is confronted by shared or similar challenges, i.e. problems that are not necessarily cross-border in nature, but of common interest. UNDP's Regional Centre in Bratislava can act as a convener to help intensify regional collaboration and dialogue and also promote dialogue between civilian experts and the uniformed forces.

Building on the recommendations from a regional parliamentary roundtable held in Prague in October 2005, and baseline research that sought input from civil society institutions, this project aims to:

- strengthen democratic oversight of the security sector;
- enhance the understanding of and national support for human security;
- reduce conflicts over security issues.

The following sets of activities will be carried out:

1. Support for the parliamentary network on security sector oversight will continue, focusing on sub-regional similarities.
2. An inclusive dialogue process will be initiated to increase understanding and cooperation among parliamentarians and representatives of executives, security services and CSOs.
3. Technical training materials will be developed and trainings will be delivered on oversight techniques and the concept of human security.
4. Institutional capacity development assistance will be provided in select countries.

This strategy builds on UNDP's institutional mandate of capacity development. The regional networking initiative has been supported by the UNDP Regional Centre in Bratislava since June 2001. This initiative targeted parliamentarians as key actors in good governance, promoting an exchange of experiences and fostering collaboration on various issues of mutual interest. The project involved parliamentarians from Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan, Azerbaijan, Armenia, Moldova and Georgia and, since 2005, Ukraine. While the geographic focus will be maintained, activities may also be carried out with a smaller selection from these countries and engage stakeholders from other ECIS countries and other regions, where relevant. A focused strategy at sub-regional level is necessary, given the different degrees of security sector governance in the various countries. Renewed efforts will be made to engage the younger generation of parliamentarians, as well as more female parliamentarians.

For the dialogue process, UNDP will capitalize on the organization's neutrality and convening power, while ensuring that participating states and institutions lead the process and define the agenda. This includes that UNDP will avoid being the convener of roundtables and instead give

priority to those dialogue events in the region that are hosted by relevant parliamentary committees or NGOs.

As for the last two activities, UNDP will directly support existing capacities within parliaments and civil society. In many transition countries, there is a lack of civilian expertise on security issues, both within and outside of parliament. Training programmes can help to address this capacity gap. For the development of training materials and the delivery of trainings, UNDP will partner with a specialized institution. As part of the capacity development efforts, and in an effort to maximize sustainability, the project will also seek to advise on a revision of existing national training schemes for parliamentary staffers, with a view to integrate security-related content into them. Alternatively, national CSOs engaged in training may be assisted to enhance their training capacities on human security issues.

Support at the national level will be developed on a pilot basis, together with the country offices concerned. Relevant assistance for parliamentary committees may include, but is not limited to:

- Advising on the composition of committees and rules of procedure
- Raising awareness on the human security concept, including on issues affecting women's security (e.g. rape, trafficking, etc)
- Developing understanding of budgetary matters, audit, review and procurement
- Strengthening of investigative capacities
- Linking committees and MPs to defense experts, civil society and think tanks to increase references to multiple sources of information
- Providing expert advice on technical and legislative issues and facilitating access to specialized independent research on security matters
- Promoting exchange of experience with other committees, including through study tours

Country-level assistance to CSOs would focus on supporting the following key CSO activities:

- Providing expert input to the national security policy, legislation, standards, codes of conduct
- Training of civilian experts
- Awareness raising and outreach campaigns
- Lobbying government to sign, ratify and enforce relevant treaties
- Documenting violations of these treaties and other rights abuses
- Cooperating in investigations

The strategy is informed by the current policy dialogue on security sector reform: The OECD/DAC has published policy guidance on security system reform and governance suggesting, among other points, that development actors invest into increased dialogue to foster local demand for change, and recommending that security sector related programming be integrated into existing development initiatives.<sup>1</sup> In March 2005, UNDP's Senior Management Team endorsed a strategy that identifies increased democratic oversight in the security sector as a key goal of UNDP's work on security sector reform. For the Europe and CIS region in particular, it is worth noting that the Parliamentary Assembly of the Council of Europe (CoE) in Strasbourg

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<sup>1</sup> OECD: DAC Guidelines and Reference Series, Security System Reform and Governance. Policy and Good Practice, OECD Publications Service, Paris, 2004: pp. 43-44.

adopted an expert Report and Recommendation to the Committee of Ministers in June 2005, proposing to foster and promote 'Democratic Oversight of the Security Sector in Member States' as an important way to strengthen governance and accountability structures in the CoE area.<sup>2</sup>

UNDP will collaborate closely with specialized institutions and aim to develop partnerships with relevant actors such as the OSCE, CoE PA, NATO, EC, bilateral donors etc.

### **Part III. Management Arrangements**

As part of its Democratic Governance Practice, the UNDP Regional Centre in Bratislava will manage this project under the Direct Execution Modality.

A Project Manager will be assigned to lead project implementation and report to the Democratic Governance Practice Team Leader.

A specialized institution will be selected as contractor, based on a competitive call for proposals. This institution will take the lead in the development of training material and the delivery of training modules. The institution will also be expected to support the dialogue process through the identification of suitable participants, documentation, and the provision of expert technical advice.

Country offices will take the lead on implementing institutional capacity development assistance. These activities will be designed with technical assistance from the project manager and, where relevant, other BRC staff such as the Gender Advisor, the Human Rights Advisor and the Civil Society Advisor, as well as experts from the specialized partner institution. Rather than launching stand-alone projects, COs will be encouraged to programmatically integrate the activities under this regional programme into existing initiatives and possibly provide co-funding. Based on a concept note and workplan, the selected COs<sup>3</sup> will receive seed funding from the project. That is, where appropriate, the project manager may provide the CO with delegation to approve transactions for agreed activities under the regional programme, while overall budget management responsibilities continue to be held by the project manager. The project manager will also continue to provide implementation assistance and monitor delivery levels. COs will submit quarterly updates on implementation to the project manager.

The project will be implemented in coordination with relevant projects implemented by UNDP, especially those of the Democratic Governance Practice at the UNDP Regional Centre in Bratislava, the Global Project on Parliaments and Conflict implemented by the Bureau for Development Policy, and initiatives implemented by the Bureau for Crisis Prevention and Recovery.

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<sup>2</sup> Council of Europe Parliamentary Assembly: Democratic Oversight of the Security Sector in member States. Doc. Nr. 10567, Strasbourg, 2005.

<sup>3</sup> COs Ukraine and Tajikistan already expressed interest. Parliament of Ukraine already offered to host a regional event.

#### **Part IV. Monitoring and Evaluation**

The project manager will oversee the management of the budget and ensure that UNDP administrative and financial functions of the project are carried out correctly and in line with organizational rules and procedures

The project manager will be also be responsible for day-to-day substantive management of the programme (including monitoring of those activities implemented by country offices and the specialized institution contracted to support the implementation of the project), to ensure that objectives and targets are consistently met, adequate inputs are provided, and outputs are produced in a timely fashion.

As the project evolves, the project manager may convene a project management team to provide guidance to the project manager. The group would comprise: an Executive to chair the group (UNDP), a Senior Supplier to provide guidance regarding the technical feasibility of the project, and a Senior Beneficiary to ensure the realization of project benefits from the perspective of project beneficiaries. Project assurance reviews by this group would be made at designated decision points during the running of the project, or as necessary when raised by the project manager.

Financial and results reporting will be done through UNDP's corporate tools ATLAS (project and financial management tool) and ROAR (Results Oriented Annual Report).

An annual project review will be conducted during the fourth quarter of each year as a basis for assessing the performance of the project. In the last year, this review will be a final assessment. The reviews will involve all key project stakeholders, and focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes. The review will be structured by a set of common standards, and lead to an update of output targets and results achieved in ATLAS. Lessons learned will be made available through UNDP's knowledge networks and to interested partners.

#### **Part V. Legal Context**

This regional project document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement (SBAA) between the Governments participating and the United Nations Development Programme.

#### **Section II - Results and Resources Framework**

See next page.

**PROJECT RESULTS AND RESOURCES FRAMEWORK**

<p><b>Intended Outcome as stated in the Regional Programme Results and Resource Framework:</b> National capacity increased to promote and protect human rights through justice, oversight and redress mechanisms.</p> <p><b>Outcome indicators as stated in the Regional Programme Results and Resources Framework, including baseline and targets.</b></p> <p><b>Applicable MYFF Service Line:</b> Democratic Governance 2.4: Justice and Human Rights</p> <p><b>Partnership Strategy</b> UNDP will collaborate closely with specialized institutions and aim to develop partnerships with relevant actors such as the OSCE, CoE PA, IPU, NATO, EU, bilateral donors, national parliaments etc.</p> <p><b>Project title and ID (ATLAS Award ID): Title: PROGRESS; ID: 49412</b></p>				
<b>Intended Outputs</b>	<b>Output Targets for (years)</b>	<b>Indicative Activities</b>	<b>Responsible parties</b>	<b>Inputs</b>
Output 1: Rejuvenated regional parliamentary network that focuses on security sector oversight active on sub-regional level in the CIS	Y1-4: At least one sub-regional parliamentary meeting held each year Y1: Network rejuvenated (average age = 45) Y3: Gender balance improved (female MPs at least 40%) Y1-4: 70% of participants consider network useful to their professional duties	1.1 Support hosts in organizing sub-regional network meetings 1.2. Reach out for new members (improve age + gender balance) 1.3. Document network discussions, activities, decisions and recommendations 1.4 Evaluation and Knowledge Managem.	Relevant parliamentary committees that host sub-regional network events; UNDP	Financial, technical and logistical assistance to relevant parliamentary committee Technical advisory services Y 1: \$ 30,000  <i>Efforts will be made to fundraise an additional \$ 25,000 for a second event in 4<sup>th</sup> quarter of the year.</i>
Output 2: Consensus on enhanced democratic oversight of the security sector fostered among key stakeholders in the CIS region, including through advocacy on the human security concept	- Y1-4: At least one regional multi-stakeholder dialogue event held every year - Y4: 70% of participants report to better understand	2.1. Facilitation of a systematic regional dialogue process, involving parliamentarians as well as representatives of the security sector,	UNDP; Specialized partner institution	Financial, technical and logistical assistance to relevant parliamentary committees/ CSOs that host the multi-stakeholder dialogue Y1: \$ 45,000

<p>Output 3: Capacities of civilian experts on security sector issues, including understanding of human security and human rights, increased in the CIS region</p>	<p>motives and concerns of other stakeholders as compared to Y1</p>	<p>the executive and civil society 2.2. Document network discussions, activities, decisions and recommendations 2.3 Evaluation and Knowledge Manag.</p>		<p><i>Funding for knowledge management to be identified (approx. \$ 5000) – purpose is to document this process for replication.</i></p>
<p>Output 4: Capacity development support for security sector oversight available at national level for parliaments and civil society</p>	<p>Y1: Handbook for civil society developed and validated Y2-4: At least one training for civilian experts delivered, based on handbook Y1-4: 70% of trainees consider handbook a valuable and relevant tool for their work</p>	<p>3.1 Support to <u>Parliamentary Staffers</u> Year 1: Assessing the possibilities to work on training programmes for parliament. staffers Years 2-4: Review and amend and improve at least one curriculum 3.2. <u>Civil Society</u> Year 1 / Year 2 (Q1+2): Development and validation of handbook for civil society organizations Year 2 (Q2+3) – 4: Delivery of trainings</p>	<p>Specialized Partner Institution/ UNDP</p>	<p>Service contract issued based on competitive bidding. Technical advice, including missions.  Y1: \$ 45,000  <i>Additional funding will have to be identified for the development of the handbook: minimum \$ 40,000 for production of the handbook, additional funding for consultation, outreach, training.</i></p>
<p>Output 5: Regional project managed effectively, efficiently and according to UNDP rules</p>	<p>Y1: Pilots started in at least 2 countries in the CIS Y1: Project partners satisfied- very satisfied &gt; 70% delivery Y1-3; 100% delivery Y4 Reports issued on time</p>	<p>4.1. Support for CO project development; 4.2. Monitoring and documentation  5.1 Advisory services 5.2 Monitoring 5.3 Reporting</p>	<p>UNDP BRC; COs   BRC</p>	<p>Advisory services; seed funding  Y 1: \$115,000  Staff; missions  Y 1: \$ 105,000</p>

### Annual Work Plan for 2006

Project execution modality: DEX  
Project Atlas ID: 49412

Title of the project: PROGRESS  
Project duration: from 2006 till 2009

EXPECTED OUTPUTS	Key Activities/Annual Output targets	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1-	Q2	Q3	Q4-		FUND ID	DONOR ID	Budget code
Output 1: Rejuvenated regional parliamentary network that focuses on security sector oversight active on sub-regional level in the CIS	Identify hosts and assist them in organizing sub-regional network event		X			BRC	TTF		25000
	Documentation / Lessons Learned			X	X	BRC in consultation: BDP/BCPR/RBEC	TRAC DG		5000
<b>Sub-total:</b>									30000
Output 2: Consensus on enhanced democratic oversight of the security sector fostered among key stakeholders in the CIS region, including through advocacy on the human security concept	Logistical organization and substantive facilitation of sub-regional dialogue, involving parliamentarians, representatives of the security sector, executive CSOs				X	BRC in coordination with specialized partner institution (contractor) + HQ	TTF and CPR TRAC		45000
<b>Sub-total:</b>									45000
Output 3: Capacities of civilian experts on security sector issues, including understanding of human security and human rights, increased in the CIS region	Development of annotated outline: handbook for civil society on security sector oversight Handbook – sample chapters - developed and reviewed with relevant regional and international CSOs	X				Specialized Partner Institution (contractor)	TRAC (DG)		5000
				X		Specialized Partner Institution (contractor) BRC/HQ representatives	TTF		20000

	Technical training at regional level for parliamentarians and parliamentary staff on specific oversight tools/ strategies				X	Specialized Partner Institution (contractor)/ CO to be determined	TTF		20000
<b>Sub-total:</b>									
Output 4: Capacity development support for security sector oversight available at national level for parliament and civil society	National pilot I	X	X	X	X	BRC in consultation: RBEC, BDP, BCPR	TTF		45000
	National pilot II	X	X	X	X	BRC in consultation: RBEC, BDP, BCPR	TTF		30000
	National pilot III	X	X	X	X	BRC in consultation: RBEC, BDP, BCPR	TTF		30000
	Advisory missions to COs and project setup	X	X			BRC	TTF		10000
	Expert Advisory Services	X	X	X	X	Specialized Partner Institution (contractor)	TTF		15000
	<b>Sub-total:</b>								
Output 5: Regional project managed effectively, efficiently and according to UNDP rules	Coordination and Policy Advice (Salary Project Manager)	X	X	X	X	BRC	TTF		90000
	Monitoring and Evaluation				X	BRC	TRAC DG		10000
	\$\$\$ Mobilization and Partnership Outreach	X	X	X	X	BRC	TTF		5000
	<b>Sub-total:</b>								
<b>TOTAL</b>									105000
									340000

\* Workplans for 2007-2009 will contain a continuation of the above activities and depend primarily on budget availability. An estimated figure for the full project duration (4 years) would be US\$ 1.6 million (average of US\$ 400,000 per year).

