



# Project Proposal

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## **Making a difference in the Democratic Republic of Congo:**

Strengthening UNDP Country Office capacities  
for the implementation of the 2008 – 2012 Multi-Partner  
Governance Programme

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## 1 Project summary

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Following the success of the electoral process at the end of political transition, the Democratic Republic of Congo (DRC) and the international development community encounter a unique chance to “change the path” of the country’s tragic history through the establishment of a system of democratic governance that is oriented towards, favors and actively promotes sustainable human development, human security and regional reconciliation, peace and stability.

In fact, the current political and socio-economic environment in the DRC has resulted in a far-reaching and unprecedented consensus between stakeholders concerning development priorities and required support. The Government of the Democratic Republic of Congo (DRC), national and international civil society organizations and bilateral and multi-lateral development actors agree that there is a need for a comprehensive, well coordinated and predictable long-term programme supporting democratic governance to seize this unique opportunity, to face the enormous development challenges and to overcome existing obstacles.

Making a difference in the DRC means to join and coordinate efforts in implementing a Governance programme that involves and gradually empowers national institutions to steer the DRC towards a continuous path of sustainable human development.

Determined to take up this challenge, UNDP has developed a comprehensive and strategically structured Governance Programme that (a) focuses on key development challenges from a Governance perspective, (b) is based on a transparent and participatory steering and implementation mechanism, (c) allows for comprehensive implication and participation of development partners and (d) builds capacities for and gradually increases national ownership.

Being aware of operational, programmatic and coordination challenges and building on lessons learned in implementing development programme during the transition period, the UNDP Country Office in the DRC is now preparing for the successful implementation of this programme that offers a common programmatic, operational and financial framework for development partners based on principles of the Paris declaration and allowing for participation of bilateral and multilateral development partners in line with their specific internal rules and regulations.

The unique combination of an independent and an internal capacity review of the UNDP Country Office in the DRC through two specialized management teams, the first composed of both PricewaterhouseCoopers (PwC) consultants and UNDP staff members and the second carried out through the corporate UNDP Management Consulting Team (MCT), has let to the development of a comprehensive capacity development action plan in order to prepare the Country Office for the programmatic and operational challenges during the 2008 – 2012 programme cycle.

The present project document has been developed on basis of the findings and conclusions of the two missions. Its main objective is to increase the internal capacities of the UNDP DRC Country Office to successfully implement the comprehensive multi-partner Governance programme. Overseen through both the UNDP CO senior management and participating donors and executed through a change management team composed of a Change Manager and Country Office staff, the project will achieve its objective through the sequenced implementation of an action plan developed and finalized by the Country Office following the two missions.

## 2 Country Context

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Despite its enormous endowment of natural resources, the DRC is among the poorest countries of the world. This situation can be described by the following facts: average life expectancy is below 47 years; the school enrolment rate is below 52 %; child mortality is over 125 child deaths per 1,000 births and maternal mortality rate is over 1,285 per 100,000; less than 23% of the population has access to drinking water. In addition, the country has been seriously affected by subsequent wars producing over 4 million deaths, between 3 to 4 million internally displaced persons and between 5 and 10 thousand child soldiers.

Following the conclusion of the Sun City agreements in December 2002 that put an end to the two wars of 1996-1997 and 1998-2002, the DRC has been engaged in a political transition process. During this process, initially foreseen to last for two years and subsequently extended twice for six months each time, a new constitution was developed and adopted. In December 2005, this constitution was approved by a referendum in which over 60% of the 25 million registered voters participated.

This process resulted in the gradual establishment of newly defined political institutions in the framework for a system of democratic governance unprecedented in the DRC.

## 3 Project Background

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### 3.1 UNDP programming during political transition

During the phase of political transition 2003-2006, UNDP interventions in were structured around three key areas, namely, crisis prevention and recovery, democratic governance and poverty reduction. In 2005 UNDP support was focusing on and directed to the electoral process, the Global Fund for the fight against HIV/AIDS, Malaria and Tuberculosis, the DDR/SSR process, support to the key transitional institutions as well as public sector reform.

In the field of democratic governance, UNDP's strategy during the transition period was to build the foundations for the establishment of a new political and institutional system. The support to the organisation and the security of a complex electoral process was the primary focus of the programme, absorbing more than 80% of resources of the Governance portfolio. The financial volume of these activities (approx. \$300 million), together with the scope of the operations covering the entire territory of the DRC, constituted a major operational challenge for a country office that had in previous years mainly operated at the Kinshasa level and in some selected provinces.

During political transition, UNDP in partnership with MONUC and other donors contributing to the electoral support basket fund, provided critical technical, financial and material support to the IEC, enabling the registration of 25,7 million voters throughout the country; the organization and holding of the constitutional referendum, as well as the presidential and national assembly elections, which involved the training of about 300,000 electoral agents and the establishment of 50,000 voting stations. In addition, joint donor projects managed by UNDP allowed equipping and training both, the National Congolese Police to ensure the security of the electoral process and the Supreme Court of Justice and the Courts of Appeal in the provinces.

The support to key institutions of the transition for the development of legislation essential for the establishment of the new political system constituted the second area of intervention of the UNDP Governance Programme. In association with other partners, UNDP provided constant technical and financial support to the Parliament and other civic institutions involved in the development of essential legislation (i.e.: Constitution, Referendum, Nationality law and Electoral laws). Compared to the former, the volume of resources and the scope of operations were significantly smaller, absorbing approximately \$5 million. Main challenges in this area were situated in the fields of partner coordination, institutional support, and diplomacy and mediation.

UNDP's support to public administration reform and to macroeconomic management, the third area of intervention of the UNDP Governance programme during the transition period, was launched in 2002. Initially identified as a key area jointly with other partners, this area absorbed approximately \$5 million during the period 2003 - 2006. UNDP was mainly involved in reform strategy development, the preparation of legal texts that would need to accompany the reform, the development of a master plan for the establishment of a National Public Administration School and the development and testing of methodologies for the rationalisation of key ministries. In terms of macroeconomic management, UNDP supported both technically and financially the formulation and approval of the PRSP in June 2006 and provided long-term capacity development support for the regular preparation of State budget, finance bill, national accounts and basic statistical data. Development of future strategies and methodologies for the realisation of the reform process were the most important aspects of this domain.

### **3.2 Country Office changes during the transition period**

In order to respond to the programmatic and operational challenges during the political transition and the considerable growth in the programme portfolio, the DRC CO undertook important staffing and structural changes to boost the capacities of the CO quickly. Additional core and non-core staff positions were created and filled at both programmatic and operational levels, doubling the number of staff from 2004 to 2005. In addition, a Service Centre was established in 2005 to manage procurement and recruitment of projects directly executed by UNDP. As a result, the UNDP DRC core team is currently made up of 36 staff holding Local 100 series contracts and 26 International staff holding a combination of 100, 200 and 300 series contracts.<sup>1</sup>

The CO has started to review its internal business processes, and started consultations with partners to define its programme priorities and re-adjust its operational set-up. In terms of programmatic capacities, the Governance Unit was significantly strengthened. A Team Leader / Senior Governance Adviser was recruited in August 2006 and one international and two national programme officers were recruited in January – March 2007. The Governance Unit is today composed of a Team Leader, four international programme officers, two national programme officers and three programme assistants.

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<sup>1</sup> Following these challenges, the CO approved 2,237 purchase orders in 2005 totalling \$ 192 million, i.e. a 1,187% increase compared to the total value of 2004 purchases. In addition, 200 service provider contracts were signed, and 13 Long Term Agreements (LTAs) were finalized. The Service Centre also recruited 998 individuals since 2005, who work on either Special Service Agreements or Service Contracts.

Anticipating the need for outreach to the provinces during the post-transition period, the CO established six provincial offices (Goma, Bunia, Kisangani, Mbandaka, Mbuji-Mai, Lubumbashi) during the first quarter of 2007. The Service Centre was strengthened with the recruitment of an international Senior Human Resources Officer and a national Legal Adviser in February 2007.

### **3.3 Post-transition programming and capacity challenges**

In view of the end of the political transition and the establishment of a new elected Government, the DRC Country Office (CO) of the United Nations Development Programme (UNDP), in partnership with international partners and especially DFID, has developed a Country Programme within the framework of the national Poverty Reduction Strategy (PRSP), the Country Assistance Framework (CAF) and the UNDAF.

In view of the progressing country context from emergency towards development, the UNDP CO has decided to review its internal programmatic structure previously composed of 3 programmatic areas: Post Conflict, Governance and Poverty Eradication. Programmatic elements of the Post-Conflict Unit concerning the SSR sector will therefore be functionally included in the Governance Unit, and associated projects will constitute a fifth pillar of the Governance Programme. Community Development elements of the Post-Conflict Unit will move to the Poverty Eradication Unit. The main areas of support during the programme period 2007 – 2011 will therefore be Poverty Reduction and Democratic Governance at the central, provincial and local levels.

The UNDP Governance Programme will support the establishment of the new political system with new institutions at all levels, while fostering democratic governance. It will seek to address institutional weaknesses in macro-economic and administrative management, and the lack of public resource management capacity, potentially including activities to support the consolidation of the state budget.

Rather than providing classic technical and capacity building support, the Governance Programme intends to provide a comprehensive multi-donor framework to instil and foster good governance in the DRC. It also seeks to be a basis for more efficient coordination of donor interventions in this area, thus ensuring a coherent international approach to support governance in the DRC. The structure and details of the programme have been developed in close collaboration with national and international partners.

The comprehensive programme with an overall portfolio of between USD 250 and 300 million will be divided into five main pillars (see Programme document for details):

1. **Political governance** – including electoral assistance, parliamentary support (national and provincial), political party strengthening, support to the media, and a ‘civil society capacity building’ component;
2. **Administrative governance** – including public administration reform and anti-corruption;
3. **Judiciary and Security Governance** - including SSR reform, strengthening of Civil oversight of armed forces, and Justice reform.
4. **Economic governance** – including capacity-building for macroeconomic policy-

making, strengthening national statistics and coordinating overseas development assistance;

5. **Local governance** – including strengthening the legal and institutional framework for decentralisation, local-level participatory planning, local-level public financial management, and access to basic public services at the local level and support to civil society.

Aware of opportunities and challenges, the programme has been designed to respond to the new context and the specific political and socio-economic environment. Compared to its past interventions in the field of governance, the programme will:

- Have more emphasis on working with national counterparts and on building national capacities;
- Reinforce programmatic presence in the provinces;
- Focus on long term development but potentially be no less politically sensitive;
- Require sufficient flexibility to respond to a changing environment;
- Require a strengthened role of UNDP as strategic adviser, coordinator and sub-contracting entity; and
- Need to carefully define the rules of engagement with all involved stakeholder.

### **3.4 Capacity development needs for successful implementation**

The implementation of this comprehensive Governance Programme with an unprecedented portfolio requires both a carefully designed structure and appropriate UNDP execution capacities. Therefore, UNDP in partnership with DFID and PricewaterhouseCoopers has undertaken an in-depth analysis of structural and capacity development needs. The findings and recommendations are documented in a joint UNDP/DFID/PwC report.<sup>2</sup>

The reports distinguished between procedural, functional, structural and HR needs at the programme and at the UNDP office level. Regarding the former, the recommendations have been taken into consideration in the finalisation of the Governance programme structure.

The present project document determines necessary actions in order to prepare the UNDP core structure. It considers the senior management, programme assurance, programme support, and sub-office levels.

Anticipating the challenges related to the scope of the Governance programme and to the country context, the UNDP country office intends to go through a comprehensive change process that will include (a) the revision of structures and the strengthening of human resources at all involved levels, (b) the review and/or development of appropriate systems and processes for programmatic and operational management and (c) comprehensive staff training.

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<sup>2</sup> UNDP, PwC: ... titre....., 2007

## 4 Project description

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The present UNDP capacity development project for the successful implementation of its 2008-2012 Governance programme is based on the recommendations of the independent and internal capacity review missions. It will ensure the efficient implementation of recommendations through a change management team, regular progress monitoring and an inclusive and participatory process.

### 4.1 Overall objective and expected results

The main objective of the project is to increase the internal capacities of the UNDP DRC Country Office to successfully implement the comprehensive multi-partner Governance programme.

In order to reach this objective, the expected results are:

- **Process level:** Change management team composed of a change manager and selected county office staff is established and ensures the implementation of the CO action plan;
- **CO level:** Country office is restructured in view of challenges ahead and necessary additional staff recruited;
- **Unit level:** Operational and programmatic systems and processes are revised and/or developed to allow all involved units to effectively fulfil their functions; and
- **Individual level:** UNDP country office staff at all relevant levels is appropriately trained according to specific functions and roles.

### 4.2 Project phases

The implementation of the present project will approximately take 7 months. Within this time frame, the project phases result from the time needed to implement the activities in the four main areas of intervention (expected results).

- Establishment of change management team: **October 2007 –January 2008;**
- Country office restructuring and recruitment: **January – April 2008;**
- Revision / Development of operational and programmatic systems and processes: **February – April 2008;**
- Staff training: **February – June 2008.**

### 4.3 Implementation and management arrangements

The project will be managed through a change management team composed of a specifically recruited change manager and country office staff representing the involved units. The monitoring of progress according to the work plan will be ensured through periodical meetings of the change team, the UNDP senior management and participating development partners.

## **Project management**

The project will be managed through a change management team under the overall responsibility of a specifically recruited change manager.

The change manager will develop monthly work plans based on the activities framework of the project and ensure implementation of planned activities.

The change management team is composed of designated representatives of involved units of the DRC country office.

## **Monitoring, reporting and evaluation**

The monitoring of the project will be ensured through a partners committee composed of representatives of the UNDP senior management and participating partners.

The committee will meet once a month to approve the work plan and monitor the project progress towards expected results.

At the end of the project duration, the change management team will provide an activities and financial report that provides details on the implementation of activities and evaluates the achievement of project results.

In addition, an independent evaluation mission funded by project partners will analyse the level of implementation of activities and the achievement of expected results of the change process.

## **Project Funding**

The project will be funded through a cost-sharing arrangement between UNDP and participating donors. UNDP funding will cover one third of the over-all costs, while donor contributions will cover two thirds.

## 5 Activities and Resources Framework

### 1. Implementation of Action Plan & Change Facilitation

Area	Recommendation	Details	Activities	Duration		Costs			
				start date	end date	#	Unit cost	7 months	
Management	Ensure appropriate HR to manage change	capacity for efficient execution of action plan	1 Int'l Change manager (P-3 level)	15-Jan-08	30-Jun-08	1	7,500.00	52,500.00	
Monitoring	Ensure regular and consistent monitoring	Senior management to regularly monitor progress through defined milestones	2 Monthly briefing sessions	15-Jan-08	30-Jun-08	7	0.00	0.00	
Budget	Provide a small activities budget to change management team	budget to cover printing, supplies and meeting costs	3 Change projet in ATLAS	15-Jan-08	30-Jun-08	7	500.00	3,500.00	
Stakeholder involvement	Involve donors and other stakeholders in the change process	2-monthly meetings with stakeholders to ensure information sharing	4 Regular meetings	15-Jan-08	30-Jun-08	4	200.00	800.00	
Total Implementation								56,800.00	

### 2. Organisational Structure / Recruitment

Area	Recommendation	Details	Activities	Duration		Costs			
				start date	end date	#	Unit cost	1 year	5 years
Senior Management Support	Strengthen Policy and Strategy development	regular donor liaising and partnership building	5 Ressource Mobilisation and Partnership Advisor (ALD 4)	30-Jan-08	30-Apr-08	1	192,000.00	192,000.00	960,000.00
	Establish oversight and management support unit	Support to Programme Director in Programme Management	6 Programme Management Oversight Specialist (ALD 4)	30-Jan-08	30-Apr-08	1	192,000.00	192,000.00	960,000.00
		Support to Country Director in management of staff learning	7 Learning Manager (ALD 3)	30-Jan-08	30-Apr-08	1	163,000.00	163,000.00	815,000.00
Governance Unit	Ensure cutting-edge expertise in key-areas	Support technical oversight of Governance Programme rgs. Decentralisation and Public Administration Reform	8 Int'l Senior Policy Advisor (ALD 4)	30-Jan-08	30-Apr-08	2	192,000.00	384,000.00	1,920,000.00
	Strengthen national capacities in Governance	sustainable programme management capacity	9 Programme Officer / Political Governance	30-Jan-08	30-Apr-08	1	42,000.00	42,000.00	210,000.00

	unit		(NOB)							
			10	Programme Officer / Admin.Reform (NOB)	30-Jan-08	30-Apr-08	1	42,000.00	42,000.00	210,000.00
			11	Programme Officer / Decentralisation (NOB)	30-Jan-08	30-Apr-08	1	42,000.00	42,000.00	210,000.00
Sub Total funded through other sources									1,057,000.00	5,285,000.00
Service Centre	Establish Governance support team within Service Centre	HR management	12	HR assistant for database management (G 6)	1-Nov-07	30-Jan-08	1	11,400.00	11,400.00	57,000.00
			13	HR officer (ALD 3)	1-Nov-07	30-Jan-08	1	163,000.00	163,000.00	815,000.00
			14	HR associates (N ALD 2 )	1-Nov-07	30-Jan-08	3	23,400.00	70,200.00	351,000.00
		Procurement Management	15	Procurement Officers (ALD 3)	1-Nov-07	30-Jan-08	2	163,000.00	326,000.00	1,630,000.00
			16	Procurement Officer (NOB)	1-Nov-07	30-Jan-08	2	42,000.00	84,000.00	420,000.00
		Legal contract management	17	Contract manager / legal (ALD 3)	1-Nov-07	30-Jan-08	1	163,000.00	163,000.00	815,000.00
		Appropriate filing	18	Archivist (G 6)	1-Nov-07	30-Jan-08	1	11,400.00	11,400.00	57,000.00
		sustainable logistics capacity and knowledge	19	Logistics Officer / Stock manager (NOB)	1-Nov-07	30-Jan-08	1	42,000.00	42,000.00	210,000.00
		Support to travel of Governance Programme	20	Travel associate (N ALD 2)	1-Nov-07	30-Jan-08	1	23,400.00	23,400.00	117,000.00
Sub Offices	Prepare Nord Kivu and Equateur Sub Office for provincial governance components	Sustainable rehabilitation and construction oversight function	21	Engineers (NOB)	1-Nov-07	30-Jan-08	2	42,000.00	84,000.00	420,000.00
		sustainable programme management capacity	22	Programme Officers Decentralisation (UNV)	1-Nov-07	30-Jan-08	2	33,600.00	67,200.00	336,000.00
Sub Total funded through Governance Programme									1,045,600.00	5,228,000.00
Total Structure									2,102,600.00	10,513,000.00

## 3. Systems, Tools and Processes

Area	Recommendation	Details	Activities	Duration		Costs				
				start date	end date	#	Unit cost	1 year	5 years	
Policy, Strategy and Partnerships	Improve external communication	Stakeholder and Partner Information about UNDP mandate and activities	23	Develop external communication plan	1-Feb-08	1-Mar-08		0.00	0.00	0.00

Unit	Foster strategic partnership building	Systematic building of strategic partnerships and coordination, funds mobilisation	24	Develop strategic partnership plan	1-Feb-08	1-Mar-08		0.00	0.00	0.00
Quality Control and Oversight Unit	Improve internal communication	Staff information about Senior Management decisions and office strategy and activities	25	Develop internal communication plan	1-Feb-08	1-Mar-08		0.00	0.00	0.00
	Systematise staff training	Planning for systematic training of office and project staff	26	Develop realistic learning plan for staff members	1-Feb-08	15-Mar-08		0.00	0.00	0.00
	Improve mid-term planning	Introduction of quarterly workplan development and approval.	27	Revise and print the DRC Processes User Guide	1-Feb-08	15-Mar-08	200	4.50	900.00	900.00
			28	Revise and print the DRC Project Management User Guide	1-Feb-08	15-Mar-08	200	4.50	900.00	900.00
	Systematise performance management	Monitoring of systematic performance assessments at office and project level, including definition of results at beginning of year	29	Develop and implement a system for monitoring of systematic performance assessment	1-Feb-08	30-Mar-08		0.00	0.00	0.00
	Improve induction of new staff	Basic information about country, office, work processes including standard forms and checklists	30	Develop and print Welcome / Induction kit	1-Feb-08	30-Mar-08	500	10.00	5,000.00	5,000.00
Operations Department	Simplify planning and organisation of office and project staff travel	Introduction of "best market price" principle and monthly payments instead of "per ticket".	31	Review and renegotiate LTA with travel agency	1-Feb-08	30-Mar-08		0.00	0.00	0.00
		Approaching service and beneficiaries	32	Locate a representative of travel agency in the UNDP compound	1-Feb-08	30-Apr-08		0.00	0.00	0.00
	Improve financial sustainability of Sub Offices	targeting of services and cost recovery through systematic charging	33	Expert mission to develop cost recovery system for Sub Offices	1-Feb-08	30-Apr-08	1	30,500.00	30,500.00	30,500.00
	Improve work life balance of office staff	Flexible working hours and home-based work	34	Develop and implement realistic w/l policy adapted to DRC context	1-Feb-08	30-Apr-08		0.00	0.00	0.00
	Facilitate information about standard procedures and access to standard forms	Ease access to standard forms and internal information	35	Establish DRC office intranet	1-Feb-08	30-Apr-08	1	13,500.00	13,500.00	13,500.00
Service Centre	Facilitate and simplify recruitment	Recurrent recruitments and consultants	36	Establish HR roster (short term database specialist)	1-Feb-08	30-Apr-08	1	21,000.00	21,000.00	21,000.00

	Facilitate and simplify procurement	ITC equipment, cars, office furniture, etc.	37	Develop catalogue for standard procurement	1-Feb-08	30-Apr-08	0.00	0.00	0.00
	Reduce procurement risks	Evaluation and monitoring of suppliers, black-listing	38	Establish a supplier database	1-Feb-08	30-Apr-08	0.00	0.00	0.00
	Improve recruitment information	Including of expected dates in dashboard	39	Review recruitment dashboard	1-Feb-08	30-Apr-08	0.00	0.00	0.00
	Improve access to SC information	Ease access to procurement catalogue and standard forms	40	Establish a SC intranet page	1-Feb-08	30-Apr-08	0.00	0.00	0.00
Total Systems, Tools and Processes							71,800.00	71,800.00	

## 4. Training

Area	Recommendation	Details	Activities	Duration		Costs		
				start date	end date	1 year	5 years	
Atlas	Improve and systematise use of ATLAS	Comprehensive training of selected office staff by Regional Service Centre SA	41	Training of trainers	1-Feb-08	30-Apr-08	8,520.00	42,600.00
		Comprehensive office, sub office and project staff training by office trainers	42	Atlas training on project and budget management and results reporting	30-Apr-08	30-Jun-08		
Reporting	Improve and standardise donor reporting	Office and project staff training	43	Training on Donor Reporting	30-Apr-08	30-Jun-08	9,600.00	48,000.00
Processes	Improve knowledge about work processes	Training on the use of the 2 DRC user guides	44	Training on office processes	30-Apr-08	30-Jun-08		
Prince 2	Improve project management	Comprehensive office, sub office and project staff training by office trainers	45	Prince 2 Training & Certification	30-Apr-08	30-Jun-08		
Total Training							18,120.00	90,600.00

Grand Total funded by Governance Programme	1,045,600.00	5,228,000.00
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Grand Total funded through other sources	1,203,720.00	5,504,200.00
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Grand Total Action Plan	2,249,320.00	10,732,200.00
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## **6 Annex**

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### **6.1 Terms of Reference of Change Management Team**

### **6.2 Terms of Reference of Key Positions to be recruited**