

**SECRETARY-GENERAL'S PEACEBUILDING FUND  
PROJECT DOCUMENT**



United Nations  
Peacebuilding

**PBF PROJECT DOCUMENT**

(Length: Max. 12 pages plus cover page and annexes)

<b>Country (ies):</b> Somalia	
<b>Project Title:</b> Support to NIEC Electoral Dispute Resolution Mechanisms <b>Project Number from MPTF-O Gateway (if existing project):</b>	
<b>PBF project modality:</b> <input type="checkbox"/> IRF <input checked="" type="checkbox"/> PRF	<b>If funding is disbursed into a national or regional trust fund:</b> <input type="checkbox"/> Country Trust Fund <input type="checkbox"/> Regional Trust Fund <b>Name of Recipient Fund:</b>
<b>List all direct project recipient organizations (starting with Convening Agency), followed type of organization (UN, CSO etc):</b> UNDP Somalia UNOPS Somalia <b>List additional implementing partners, Governmental and non-Governmental:</b> United Nations Assistance Mission in Somalia (UNSOM) National Independent Electoral Commission (NIEC) of Somalia	
<b>Expected project commencement date<sup>1</sup>:</b> 1 November 2019 <b>Project duration in months:<sup>2</sup></b> 31 August 2021 <b>Geographic zones for project implementation:</b> Mogadishu, Somalia	
<b>Does the project fall under one of the specific PBF priority windows below;</b> <input type="checkbox"/> Gender promotion initiative <input type="checkbox"/> Youth promotion initiative <input type="checkbox"/> Transition from UN or regional peacekeeping or special political missions <input type="checkbox"/> Cross-border or regional project	
<b>Total PBF approved project budget* (by recipient organization):</b> UNDP Somalia: USD 1,600,000 UNOPS Somalia: USD 900,000 <i>*The overall approved budget and the release of the second and any subsequent tranche are conditional and subject to PBSO's approval and subject to availability of funds in the PBF account</i> <b>Any other existing funding for the project (amount and source):</b> Project total budget: USD 2,500,000	

<sup>1</sup> Note: actual commencement date will be the date of first funds transfer.

<sup>2</sup> Maximum project duration for IRF projects is 18 months, for PRF projects – 36 months.

<b>PBF 1<sup>st</sup> tranche (2019):</b> UNDP: USD 1,120,000 UNOPS: USD 900,000 <sup>3</sup> Total: USD 2,020,000	<b>PBF 2<sup>nd</sup> tranche (2020):</b> UNDP: USD 480,000 Total: USD 480,000
<b>Two-three sentences with a brief project description and succinct explanation of how the project is time sensitive, catalytic and risk-tolerant/ innovative:</b>	
<p>Somalia's 2020/21 federal elections are arguably the most important political process ahead for the country at this juncture with the potential to consolidate the peaceful gains made in the country since the end of the transition in 2013. The UN Security Council has underlined the importance of the elections and the technical and logistical support provided by the UN to the National Independent Electoral Commission (NIEC).</p> <p>The overall aim of the project is to minimize electoral disputes and to enhance peaceful dispute resolution and thereby minimizing elections-related violence. To achieve this objective, it is essential that NIEC establishes the necessary electoral dispute resolution architecture at all levels early on, to minimize conflict and prevent it from escalating into larger-scale violence. If disputes arise, NIEC should have the capacity to deal with electoral complaints through the prescribed electoral dispute resolution procedures. If a complainant is still dissatisfied, he/she can ultimately resort to the judiciary. It is therefore also important that judges are also given specific training on electoral issues. Other key stakeholders also need to know how electoral complaints procedures and electoral dispute resolution mechanisms work.</p> <p>Preparations must start now to ensure the UN readiness to support the NIEC with the design of the EDRM and build the NIEC's and other stakeholders' capacity to understand the EDRM. The challenges caused by election-related conflicts and political violence underscore the importance of building institutions that balance competition with order, participation with stability, and contests with compromise and consensus. Establishment of dispute resolution structures and systems at all levels including their periodic review, play a decisive role in a complex and politically divisive environment. This project will allow the UN to scale up its support to the NIEC and could act as a catalyst for other donors also to embark upon.</p>	
<b>Summarize the in-country project consultation and endorsement process prior to submission to PBSO, including through any PBF Steering Committee where it exists:</b>	
<ul style="list-style-type: none"> <li>- PBF Coordination Committee</li> <li>- Somalia Development and Reconstruction Facility (SDRF)</li> <li>- National Independent Electoral Commission (NIEC) of Somalia</li> <li>- Somali Pillar Working Group on Inclusive Politics (PWG-1) and Sub-Working Group Elections (SWG3)</li> </ul>	
<b>Project Gender Marker score: 2<sup>4</sup></b> Specify % and \$ of total project budget allocated to activities in direct pursuit of gender equality and women's empowerment: 30%	

<sup>3</sup> In order to ensure a swift procurement and construction process for the UNOPS component of the project it is necessary to disburse their share of the budget in one tranche.

<sup>4</sup> Score 3 for projects that have gender equality as a principal objective

Score 2 for projects that have gender equality as a significant objective

Score 1 for projects that contribute in some way to gender equality, but not significantly (less than 15% of budget)

<b>Project Risk Marker score: 1</b> <sup>5</sup>	
<b>Select PBF Focus Areas</b> which best summarizes the focus of the project ( <i>select ONLY one</i> ): _____ <sup>6</sup> 2.2 Democratic Governance	
If applicable, <b>UNDAF outcome(s)</b> to which the project contributes: UN Somalia Strategic Framework Priority 1: Deepening federalism & state-building, supporting conflict resolution & reconciliation, & preparing for universal elections. Outcome 1.3: Preparations for 2020/21 universal elections are completed.	
If applicable, <b>Sustainable Development Goal</b> to which the project contributes: SDG Goal 16: <i>"promotion of peaceful and inclusive societies for sustainable development, provision of access to justice for all, and build effective, accountable, and inclusive institutions at all levels"</i> . SDG 16 – target 6: <i>"Development of effective, accountable and transparent institutions at all levels"</i> SDG 16 – target 7: <i>"Assurance of responsive, inclusive, participatory and representative decision-making at all levels"</i> .	
<b>Type of submission:</b> <input checked="" type="checkbox"/> New project <input type="checkbox"/> Project amendment	<b>If it is a project amendment, select all changes that apply and provide a brief justification:</b>  Extension of duration: <input type="checkbox"/> Additional duration in months: Change of project outcome/ scope: <input type="checkbox"/> Change of budget allocation between outcomes or budget categories of more than 15%: <input type="checkbox"/> Additional PBF budget: <input type="checkbox"/> Additional amount by recipient organization: USD XXXXX <b>Brief justification for amendment:</b>

<sup>5</sup> Risk marker 0 = low risk to achieving outcomes

Risk marker 1 = medium risk to achieving outcomes

Risk marker 2 = high risk to achieving outcomes

<sup>6</sup> PBF Focus Areas are:

(1.1) SSR, (1.2) Rule of Law; (1.3) DDR; (1.4) Political Dialogue;

(2.1) National reconciliation; (2.2) Democratic Governance; (2.3) Conflict prevention/management;

(3.1) Employment; (3.2) Equitable access to social services

(4.1) Strengthening of essential national state capacity; (4.2) extension of state authority/local administration; (4.3)

Governance of peacebuilding resources (including PBF Secretariats)

100-100000000

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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## I. Peacebuilding Context and Rationale for PBF support (4 pages max)

- a) A brief summary of **conflict analysis findings** as they relate to this project, focusing on the driving factors of tensions/conflict that the project aims to address and an analysis of the main actors/ stakeholders that have an impact on or are impacted by the driving factors, which the project will aim to engage. This analysis must be gender- and age- sensitive.

Somalia is emerging from decades of conflict and the organization of the country's first 'one person, one vote' elections since 1969 is a tremendous paradigm shift. For the first time in five decades, a large group of marginalized communities (women, IDPs, youth and minorities) can participate in a political process to elect the country's leaders, instead of through a clan and elders centric limited suffrage. With general parliamentary elections scheduled for late 2020 and the President's four-year term ending in early 2021, this project seeks to train NIEC staff and the judiciary so that election-related disputes could be minimized.

With political representation still limited to a small part of society, Somali society remains characterized by exclusion and marginalization. The latest available data from OECD's Development Centre's Social Institutions and Gender Index (SIGI) places Somalia on the 6<sup>th</sup> lowest position in the world, with 'very high' discriminatory family codes, 'very high' levels of restricted physical integrity, and a 'very high' level of restricted resources and assets.<sup>7</sup>

### *Clan dynamics and political exclusion*

Lineage underpins Somali society, with divisions defined along clan and sub-clan lines. Clan dynamics and cleavages have been a source of conflict - used to divide Somalis, fuel endemic clashes over resources and power, mobilize militia, and make broad-based reconciliation difficult to achieve. Most of Somalia's armed conflicts have been fought in the name of clan, often as a result of political leaders manipulating clan dynamics for their own purposes. The most vulnerable remain internally displaced persons, in particular women and girls, and members of minority clans. The participation and role of women and youth in leadership and decision-making, including the clan-based political structure, is extremely limited, perpetuating gender inequalities and contributing to the disenfranchisement of young Somalis.<sup>8</sup>

Currently, female representation in the Federal Parliament of Somalia stands at 24 per cent. This is higher than the 12 per cent of the previous Federal Parliament in 2012, but still failed to achieve the 30 per cent quota that electoral partners had set themselves as a target in 2016. Given the country's patriarchal system and due to the current clan-based power-sharing mechanism, (sub)-clans do not prefer that their specific seat is to be reserved for women, resulting in a vicious circle of strong exclusion. Furthermore, Somalia has a very young population, with 57 per cent of the country younger than 19 years and another 28 per cent are between 20 and 39 years old. In contrast, the traditional clan-based lineage mechanism places significant power in the hands of the elders.

<sup>7</sup> <https://stats.oecd.org/Index.aspx?DataSetCode=SIGI2019>

<sup>8</sup> The Convention on the Elimination of all Form of Discrimination against Women (CEDAW) has not yet been ratified by Somalia - a framework that reaffirms faith in fundamental human rights, in the dignity and worth of the human person and in the equal rights of men and women, highlighting the principles of non-discrimination, substantive equality and the state obligations to formulate gender responsive policy and legal frameworks.

Universal suffrage elections can increase the number of women, young people and marginalized groups becoming part of electoral processes as voters and candidates, by limiting the leverage exerted by clan leaders, who are exclusively male and often from the older generation. The Somali Women's Charter, endorsed in March 2019 with the support of the Ministry of Women and Human Rights Development, emphasizes that without women's political participation there can be no sustained peace and development. In order to address structural and historical discrimination, the Charter aims for a balanced 50/50 gender distribution across the three branches of government, all independent commissions, all Federal Member States (FMS) and all levels of governance, whether in elected or appointed positions.

### *NIEC and Government commitment to elections*

Somalia's National Independent Electoral Commission (NIEC) was established in 2015. The institution has the constitutional mandate to register voters and political parties and to conduct elections. It is a primary responsibility of the NIEC to ensure that the right to vote for all eligible citizens is upheld through an effective voter registration exercise, that voters are made aware of their rights and responsibilities in this regard; and voters express their choice of leaders on election day through a secret ballot. The current NIEC consists of nine members, of whom two are women, including the Chairperson.

In its Roadmap for Inclusive Politics (2017-2020), the Federal Government of Somalia made it a cornerstone to prepare for the transfer of power through credible elections by end of 2020. This would imply a tremendous paradigm shift, as the last universal suffrage elections for the federal parliament were held half a century ago in 1969. After democracy was shattered for decades resulting in years of chaos and civil war, a "4.5" clan-based power sharing formula<sup>9</sup> was used both in 2012 as well as during the 2016 processes in reaching agreements on the composition of parliament pending universal suffrage elections.

### *Challenges and risks*

These elections are being prepared when relations between the FMS and the Federal Government of Somalia (FGS) require improvement while inter- and intra-clan reconciliation is yet to take firm root. Elections will be seen as a challenge to the current political status quo, and therefore likely to face resistance before, as well as during and in the immediate post-election phases which require well-considered mitigation measures to dissipate tensions, forestall electoral violence and ensure fair arbitration in order for the electoral process to proceed without the risk of derailment.

Furthermore, there is a high risk that extremist groups such as Al-Shabaab would try to undermine the elections given their rejection of any democratic government. The NIEC currently operates from within Villa Somalia, the seat of Government that is difficult for electoral stakeholders to access and undermines perceptions of the NIEC's independence and integrity. Besides severe security restrictions for visitors to access the Government's compound, extremist groups have identified Villa Somalia as a key target, demonstrated over the past years in different attacks on access points to Villa Somalia and occasional launches of mortar attacks, the most recent in March 2019 which had also hit the NIEC offices.<sup>10</sup>

<sup>9</sup> According to the 4.5 power sharing mechanism, each of the four main clans are given equal representation, while all other minority clans together have 0.5 representation.

<sup>10</sup> AS mortar attack on Villa Somalia on 2 March 2019 had hit two NIEC offices.



*NIEC stakeholder outreach and EDR centre at a secure venue deemed impartial to all stakeholders*

It is important that a secure and accessible stakeholder outreach and EDR centre is established that is perceived as an impartial location for all stakeholders, rather than be co-located with the executive branch of government that is often under attack. The proposed facilities can help strengthen the public's confidence in the electoral process by increasing transparency and accessibility. The NIEC's role in mitigating violence through formal and informal electoral dispute resolution is critical to prevent electoral violence. It will be important for the NIEC to operate in a safe and secure location for not only its personnel to work without fearing for their safety, but also that other electoral stakeholders – particularly to disadvantaged groups such as women and youth – find a secure space to interact with the NIEC, share their views and concerns on the electoral process, and resolve differences and disputes. Furthermore, the establishment of key facilities for the NIEC will bring sustainability to an essential institution in Somalia for years to come.

- b) A brief description of how the project aligns with/ supports **existing** Governmental and UN **strategic frameworks**, how it ensures **national ownership** and how the project complements/ builds on any other relevant interventions in this sector/area, including any lessons from previous PBF support.

UN strategic framework - electoral assistance

The UN's 'Agenda 2030', UN Security Council Resolutions (UNSCR) 2282, 1325 and follow-up resolutions, and other international agreements affirm that advancing women's empowerment in conflict-affected settings is both a key objective in its own right and a precondition for sustainable peace and development. The UN recognizes the need to protect and promote the right of women to participate in the electoral process, particularly in post-conflict countries, something which was reaffirmed in UNSCR 2461 (March 2019) on Somalia. It is important to keep in mind, that electoral rights mean much more than simply the right to vote. It assumes freedom of expression, assembly and association, and the freedom to take part in the conduct of public affairs, hold public office at all levels of Government, and participate in the formulation of government policy.

UN electoral assistance to Somalia is in accordance with the decisions of the United Nations General Assembly and the Security Council and the mandate of the United Nations Assistance Mission in Somalia (UNSOM).<sup>11</sup> UN Security Council Resolution 2408 underscored "the importance of UNSOM's support to the Federal Government of Somalia on preparations for the delivery of an inclusive, credible and transparent 'one person, one vote' elections in 2020 with a focus on the NIEC to fulfil its constitutional mandate in line with the Somali-led Operational Strategic Plan for 2017-2021. The same was reaffirmed in UNSCR 2461 (March 2019). The UN electoral needs assessment missions (NAM) deployed to Somalia in 2013, 2017 and 2018 underscored that "in order for Somalia to realize universal (one-person one-vote) elections, a conducive electoral environment is a prerequisite", including support to the capacity development of the NIEC.

<sup>11</sup> UNSCR 2408 (2018): "importance of UN support to the FGS on preparations for the delivery of an inclusive, credible and transparent 'one person, one vote' elections in 2020/21 with a focus on the NIEC [...] and the goal of nationwide voter registration in 2019 [and 2020], and coordination of international electoral support to Somalia". UNSCR 2358 (2017): "support for the preparation of an inclusive, credible and transparent 'one person, one vote elections' in 2021, and coordination of international electoral support to Somalia"

#### Government framework and national ownership

The New Partnership for Somalia sets out how Somalia and the international community work together to meet Somalia's most pressing needs, including in the inclusive politics governance mechanism. As set out in the National Development Plan, the Somalia Mutual Accountability Framework (MAF) includes important goals on objectives on preparations for universal elections, such as the adoption of the electoral law, and the timely and sound implementation of NIEC's strategic plan.

Somalia has committed itself to a number of international and regional treaties with key human rights standards, including those in reference to genuine universal suffrage elections and the citizen's right to be elected by secret ballot, guaranteeing the free expression of the will of the electors.<sup>12</sup> At the international Somalia Partnership Forum (SPF) in Brussels in 2018, the Federal Government of Somalia reconfirmed its commitment to hold universal elections at the end of the Parliament's term, as one of the pillars of the establishment of democracy in the country. The next Somalia Partnership Forum is scheduled for 1-2 October 2019 in Mogadishu and is expected to include similar commitments as well as expectations from Somalia's international partners on the process.

The Roadmap of the Federal Government of Somalia for 'Inclusive Politics' (2017-2020) clearly indicates that holding of elections at the end of the term of the Federal Parliament is a national priority for the country. The establishment of a secure, well-functioning and NIEC stakeholder outreach and EDR centre at a location considered impartial for all stakeholders underscores national ownership for the elections.

#### Building on existing international interventions

The PBF project is linked to the work and mandate of the UNSOM/UNDP Somalia Integrated Electoral Support Group (IESG). IESG supports the NIEC with preparations of the country's parliamentary one person, one vote elections at the federal level, in particular by providing capacity development assistance to the NIEC as well as on operational planning, support to the development of the electoral legal framework, and with voter education and public outreach. Support to the NIEC in establishing an electoral dispute resolution mechanism (EDRM) and the construction of a stakeholder outreach and EDR centre are complementary to the work that IESG is implementing.

In this proposal, UNOPS is the NIEC's and IESG's partner to provide facilities such as (prefab) offices and meeting rooms at the NIEC compound to enable EDR and outreach activities. IESG will manage the coordination of UNDP's, UNSOM's and UNOPS's roles in the implementation of the PBF project.

Partner involvement: This PBF project builds on other interventions from the international community to support the NIEC, including UN and multi-donor supported efforts to establish an impartial stakeholder outreach and EDR centre. IESG has been assisting the NIEC since 2016/17 with the establishment of a secure compound for the NIEC outside the government's seat. Financed by Japan and implemented through IESG/UNSOM and UNOPS, the NIEC compound was secured in 2018. Currently, with Multi-Partnership Trust Fund (MPTF) donors (Germany, the EU, Sweden, UK), UNDP/IESG is constructing inside the compound a voter

<sup>12</sup> The United Nations Declaration of Human Rights (UNDHR) (1948), the International Covenant on Civil and Political Rights (ICCPR) - ratified by Somalia in 1990, the International Convention on the Elimination of Racial Discrimination (ICERD) and the African Charter on Human and Peoples' Rights (ACHPR).



registration data centre and warehouse for sensitive material. The establishment of a NIEC stakeholder outreach and EDR centre through the PBI<sup>13</sup> complements these interventions.

Efforts will be made to find other electoral assistance partners who can providing additional funding and expertise for the establishment of the NIEC's adjudicative body on EDR; hiring of NIEC staff who deals with EDR; provision of office equipment; training and outreach activities to ensure all electoral stakeholders are well versed in the EDRM.

## **II. Project content, strategic justification and implementation strategy (4 pages max Plus Results Framework Annex)**

- a) **A brief description of the project content** – in a nutshell, what results is the project trying to achieve, and how does it aim to address the conflict analysis factors outlined in Section I (must be gender- and age- sensitive).

This project will put in place a conflict prevention mechanism by establishing a lean electoral dispute resolution mechanism understood by all, so that electoral complaints are not mishandled and lead to election-related violence. Skilled and well-trained NIEC and judicial personnel is key in the successful roll-out of the EDR mechanism. Good understanding of the mechanism by electoral stakeholders (political parties, candidates, media, CSOs including women's and youth groups, observers) are also essential so that complaints and disputes do not translate into violent acts but are instead lodged based on the legal requirements of handling electoral disputes. As the country does not have any recent experience in running large-scale electoral operations<sup>13</sup>, and where there is a high propensity to settle disputes through violent means, there is a risk that errors made by electoral workers can be misconstrued as deliberate malfeasance.

Electoral workers' understanding of how to address and register complaints, and good use of formal and alternative dispute resolution approaches are paramount.

Key electoral stakeholders require a secure and impartial location to discuss important electoral policy matters with the NIEC and resolve potential electoral disputes that cannot be addressed on the ground. NIEC should be able to invite these stakeholders in a neutral and secure location.

In this respect, the project aims to achieve the following:

- A. Development and establishment of EDR structures and systems at all levels, including the development of regulations and procedures for dispute resolution (implemented by UNDP);
  - B. Development and implementation of programmes for NIEC staff, relevant judges and electoral stakeholders to ensure EDR is carried out competently and efficiently during different electoral operations (from voter registration to polling, counting and tabulation) (implemented by UNDP);
  - C. Development of the NIEC's offices for dispute resolution and stakeholder outreach (implemented by UNOPS).
- A. Development and establishment of electoral dispute resolution structures and systems at all levels**

<sup>13</sup> The last universal multi-party elections across Somalia were held in 1969.

- ⇒ *Developing systems to receive, process and respond to electoral complaints submitted to the NIEC and to communicate outcomes through to complainants.*
  - Set up NIEC EDR body to mediate electoral disputes.
  - Draft regulations and procedures on EDR.

**B. Development and implementation of programmes for NIEC staff and electoral stakeholders such as judges to ensure EDR is carried out competently and efficiently during different electoral operations**

- ⇒ *Training of NIEC electoral workers to enhance their understanding of electoral dispute resolution procedures, regulations and processes including complaints management so that complaints are address efficiently and not mishandled.*
- ⇒ *Development of programmes for judges and other stakeholders to increase their understanding of electoral issues and processes to effectively carry out electoral dispute resolution:*
  - Article 14 (17) of the NIEC law provides that appeals can be made in three situations:
    - regarding “the right to vote, the right to take part in elections and the final results of the elections”.
    - Somali voters, political parties, candidates and electoral stakeholders will have the right to go to court, so judges of the competent court will be trained in electoral dispute resolution and increase their understanding of an electoral process.
  - NIEC could consider planning a retreat with electoral stakeholders (judges, political parties, observers, CSOs) at its premises in order to develop strategies for supporting a peaceful electoral process before, during and after Election Day. The sessions could facilitate negotiation skills-enhancement, workshop for religious and traditional community leaders, and to engage with political parties to keep the peace, provide the venue and logistics for the community leaders to facilitate dialogue sessions for the political parties. These dialogues may culminate in the approval and signing of an Electoral Pledge by key political parties given the fragile political environment and could be very important milestones to ensure peaceful conduct of elections and the subsequent acceptance of the results by all political parties.
  - Women groups will benefit from the training on electoral procedures and electoral dispute resolution and be better placed to lodge complaints when their rights as voters, candidates, or observers are not respected. All groups will be sensitized during the training, particularly NIEC’s temporary staff, on how to pay particular attention to women’s and other disadvantaged groups’ needs, especially in a dispute resolution context.
  - Youth and other marginalized groups: Women, youth and other marginalized groups will be invited to the training that should make clear their rights to participate in the electoral process, and what mechanisms are available if they are not given equal opportunity to participate in the process. Provision of extensive electoral education aimed to promote peace and unity among youth and other groups in the lead-up to the elections.

**C. Development of the NIEC’s offices for stakeholder consultations and EDR (UNOPS)**

NIEC’s stakeholder consultation and EDR facilities at NIEC’s new HQ premises will:

- Strengthen the public perception of an independent electoral commission;
- Provide a secure location for the NIEC to conduct stakeholder consultations to resolve electoral disputes, as well as offer as a training venue on electoral dispute resolution to key stakeholders, including judges;

- Encourage the participation of women, youth and other marginalized groups in electoral processes by providing a secure location for them to meet with NIEC officials to discuss issues of mutual concern.

The NIEC has secured land outside Villa Somalia (seat of the Government) near the AMISOM protected area in Mogadishu and the Aden Abdulle International Airport (AAIA). Within these premises, IESG is already supporting through UNDP/donor funds<sup>14</sup> the NIEC with the construction of a voter registration data centre, warehouse and perimeter reinforcement.

b) **Project result framework**, outlining all project results, outputs, activities with indicators of progress, baselines and targets (must be gender- and age- sensitive). Use **Annex B**; no need to provide additional narrative here.

c) Provide a **project-level 'theory of change'** – i.e. how do you expect these interventions to lead to results and why have these interventions been selected. Specify if any of these interventions are particularly risky.

*(Note: Change may happen through various and diverse approaches, i.e. social cohesion may be fostered through dialogue or employment opportunities or joint management of infrastructure. The selection of which approach should depend on context-specific factors. What basic assumptions about how change will occur have driven your choice of programming approach?)*

**Theory of Change:** If electoral dispute resolution structures and systems are developed and operationalized properly at the national, state and lower levels, then instances of electoral disputes leading to election-related violence can be minimized, because all electoral stakeholders will have a good understanding of how electoral disputes are handled in a competent and expeditious manner.

Unresolved or mishandled electoral disputes may trigger election-related conflicts and political violence and may retard the gains made by the country in its efforts towards building a democratic and peaceful Somalia. Through EDRM, it will be possible to address measures to preempt election-related conflicts and gain the confidence of the public in the electoral process. Considering the fragility of the electoral environment in the country, an effective electoral dispute resolution system will contribute to reducing the number of electoral disputes and in turn mitigate electoral violence.

- (1) Design and develop the EDRM, including regulations and procedures
- (2) Assist in establishing the NIEC's EDR body
- (3) Ensure all electoral stakeholders are familiar with the EDR mechanism: NIEC's electoral adjudicative body, electoral workers, judges, political parties, media, marginalized groups, etc.
- (4) Reduce the instances of frivolous complaints; valid complaints are dealt with expeditiously and efficiently, therefore contributing to the credibility of the electoral process and reduced risk of electoral violence. Dialogue among stakeholders (security, CSOs, political parties, candidates and NIEC); capacity building programmes for stakeholders; efficient and credible EDRM process.
- (5) All of this contributes to mitigating elections-related violence.

<sup>14</sup> Current donors of IESG include: EU, Germany, Sweden, UK, with Japan already having provided funding for a blast-resistant perimeter wall, which has been built.

<p><b>Building electoral capacity of the NIEC and the judiciary to address disputes</b></p>	<p><b>Establish EDRM body</b></p>	<p><b>Sensitise all electoral stakeholders</b></p>	<p><b>Enhanced credibility of the elections and reduced risk of electoral violence</b></p>
<p>Regulations and procedures on complaints, appeals written and approved by the NIEC board of Commissioners</p>	<p>A functioning and accessible facility constructed in a secure and impartial location</p>	<p>Dialogue among stakeholders (security, GSOs, political parties, candidates and the NIEC)          Electoral workers understand procedures, regulations and processes          Training of judges and key electoral stakeholders on NIEC procedures and regulations, electoral complaints and appeals, and dispute resolution</p>	<p>Reduced electoral violence          Reduced errors and misunderstandings that lead to electoral complaints          Less contested results reduced risk of electoral violence and increases the overall acceptance of the outcome of the election results</p>

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- d) **Project implementation strategy** – explain how the project will undertake the activities to ensure most effective and efficient achievement of results, including justification for geographic zones, criteria for beneficiary selection, timing among various activities, coherence between results and any other information on implementation approach (must be gender- and age-sensitive). No need to repeat all outputs and activities from the Result Framework.

The support to establish the NIEC stakeholder outreach and EDR centre at its HQ facilitates the interaction of NIEC with electoral stakeholders and will house the NIEC's EDR body. It will be a venue that is considered an impartial location for key electoral stakeholders (political parties, candidates, particularly female candidates who face extra threats and challenges, civil society, observers, media, etc.) for them to meet in a secure and neutral location to feed into NIEC decision-making to enhance inclusiveness and transparency in the electoral process. Currently, the NIEC is located in Villa Somalia (where the Presidency, amongst other executive offices, is located and is a frequent target of attacks with resultant very strict security regime), making it very difficult for electoral stakeholders to access and creates a perception problem for the NIEC.

The facilities will be accessible for people with disabilities. An impartial and secure venue for the NIEC where key electoral stakeholders can come together and facilitate/observe the electoral process, enhances the overall credibility of the elections and contributes to the prevention of electoral violence.

**Output 1:** EDRM structures in place to support the entire electoral process commencing with voter registration up to announcement of election results. EDR body to be established prior to the start of the voter registration process to adjudicate cases submitted. NIEC consultations and briefings for judges and electoral stakeholders on electoral dispute resolution.

- Assist NIEC in the development of EDRM model suited to the Somali context; equip the EDR body within the NIEC;
- Envisaged timeline: October 2019 – June 2021 (including post-elections lessons learnt workshop and analysis);
- Mogadishu -> NIEC cascade training mechanism to FMS, regions/districts, and field workers;
- Linked with IESG main electoral support programme to the NIEC, and IESG's support to the preparations and conduct of elections;
- Subject: electoral procedures and dispute resolution mechanism for the following electoral phases: voter registration, verification of the provisional voter lists, distribution of the voter cards, campaign process, polling, counting, tabulation and complaints adjudication.

**Output 2:** Provision of offices and meeting rooms, and additional security enhancements for EDR and stakeholder outreach:

- Envisaged timeline: Q4/2019 – Q2/2020 (+ one-year defect notification period)
- Mogadishu -> land for NIEC HQ
- Linked with IESG main electoral support programme to the NIEC and IESG's support to the preparations and conduct of the elections.

**Links with other contributors and UN funded projects that support NIEC electoral capacity:**

1. Government:

- Donated in 2015 land to NIEC (in place) - strategic location adjacent to AAIA.
  - FGS responsibility for staffing and office running costs (e.g. electricity)
    - The NIEC receives annually a budget from the Government that covers staffing salaries and office running costs. The running costs for the compound, built by PBF and other donors, will also be included in the NIEC's annual budget from the government.
  - FGS responsibility for compound security
    - The NIEC building is a government facility, secured by the FGS. Depending on the security plans, government security could comprise support to NIEC guards, police control nearby the NIEC gate, and road blocks to limit traffic to the compound. In addition, as the NIEC compound is adjacent a high-security zone just outside the AMISOM protected, there is strong presence of Somali forces in the vicinity. The Project is further working closely with other actors to establish an electoral security task force, to establish a harmonized and coordinated security approach during elections.
2. UNDP/UNSOM IESG current Joint Programme for electoral support (2015 – 2021) (current donors: EU, Germany, Sweden, UK; partner: USAID) <sup>15</sup>
- Capacity development of NIEC on electoral administration, voter registration, public outreach, political party registration and development of the electoral legal framework complement the PBF intervention, i.e. EDRM.
  - Construction of NIEC VR data centre and warehouse (February/March 2020):
  - Support to electoral operations
  - Technical assistance to NIEC procedures and regulations
  - Support to NIEC engagement with stakeholders and public
3. Government of Japan (2016-2017)
- Support to construction of secure perimeter for the NIEC compound (in place) (MOSS compliant wall / guardhouse) (2016 supplementary budget to UNSOM/S and UNOPS subcontracting)

### **III. Project management and coordination (4 pages max)**

**Recipient organizations and implementing partners** – list direct recipient organizations and their implementing partners (international and local), specifying the Convening Organization, which will coordinate the project, and providing a brief justification for the choices, based on mandate, experience, local know-how and existing capacity.

The UNSOM/UNDP Integrated Electoral Support Group (IESG) will be the designated partner for the coordination of the work done by the two recipient organizations UNDP and UNOPS, and the implementing partners UNSOM and NIEC.

#### **1. UNDP Somalia (direct recipient organization): Implementation of PBF technical assistance**

- UNDP is partner of IESG, jointly with UNSOM
- Project description

<sup>15</sup> 2015-17 Electoral Assistance programme (closed) total budget USD 20,141,629 included support to the limited franchise '2016 electoral process'. 2018-2020 Programme for Support to Preparations for Universal Suffrage Elections in the Federal Republic of Somalia budget is USD 13,318,301, this does not include 2020 VR budget estimated at USD 31M. (Budget for VR security operations and Election Day operations are not yet finalized). 2021 budget is yet to be determined.



- Management of IESG basket fund
- Provision of electoral expertise on the activities
- Construction of facilities essential for voter registration
- Key electoral advisors, assisting NIEC with the essential PBF-funded activities (below)
- Coordination of electoral assistance of international donors
- Project reporting to Somalia's pillar working group framework (PWG)

**2. UNSOM (implementing partner): Joint partner of UNDP in IESG**

- Strategic direction of implementation of UN electoral support, under the overall guidance of the SRSG
- Provides most of IESG's international electoral advisors, including key positions that will assume responsibility for the PBF-funded activities (see below)
- Supported by UNSOS, provision of logistical support to electoral needs
- Provision of Good Offices, and SRSG and D/SRSG support to the overall process
- Coordination of international electoral support to Somalia

*UNSOM/UNDP IESG positions, funded outside the PBF project, that assume directly or indirectly a role in the implementation of the following PBF's funded activities:*

Technical advisory and assistance to NIEC electoral operations coordination, NIEC's stakeholder engagements, NIEC electoral trainings, results announcements process, and electoral dispute resolution and mediation:

- Chief Electoral Operations Advisor (UNSOM), Deputy Chief Electoral Advisor (UNDP), Chief Electoral Operations Advisor (UNSOM);
- Sr. Electoral Security Advisor, Legal Advisor, External Relations Advisor, Public Outreach Advisor, Capacity Development and Training Advisor, Field Operations Advisor, Field Coordination Advisors, Security Advisor, Electoral IT advisor, GIS specialist, logistics Advisor and Specialists, plus supporting national staff members;
- Project support team: project manager, operations specialist, finance specialists and officers, electoral assets officers, administrative assistants, driver, translator, etc.

**3. UNOPS Somalia (direct recipient organization): Development of NIEC centre**

- Master plan of NIEC compound
- Developed with funding from Government of Japan the outer perimeter of the NIEC compound
- Coordination with IESG during the implementation of the construction works

**4. NIEC (national counterpart)**

The NIEC is a pivotal partner and key implementor of the project. The establishment of the centre places the NIEC at the core of the overall implementation and envisaged objective of the Project: to have a functional, impartial and secure electoral management and dispute resolution process in place. The NIEC is the lead entity to plan and conduct the elections and has a major responsibility to strengthen the credibility of the entire process. The better the technical aspects of the elections have been conducted, the lesser margin for potential substantive and quantifiable discrediting of the process against the NIEC. In addition, the NIEC has to make sure it is perceived as independent and impartial. It therefore has to engage with all key stakeholders in an environment where they feel secure and are treated impartially.

- a) **Project management and coordination** – present the project implementation team, including positions and roles and explanation of which positions are to be funded by the project (to which percentage). Explain project coordination and oversight arrangements. Fill out project implementation readiness checklist in **Annex C**.

### **Wider UN coherence and genuine partnership**

The PBF project is built on the already existing UNDP/UNSOM Electoral Support Group (IESG). The PBF project can fall back on the existing IESG structure to implement the support to the development, establishment and capacity-building of the electoral dispute resolution mechanism of the NIEC.

Through IESG's direct involvement, the PBF project is directly linked to other key international actors, such as the UN's senior leadership in Somalia, and other international donors, as well as indirectly with the UN's coordination mechanism with AMISOM, different multilateral and bilateral organizations and diplomatic missions, and other electoral assistance providers.

Given the natural interconnectivity between the different electoral support projects under the lead of IESG<sup>16</sup> and in the mutual interest of all donor partners who are supporting the elections, the PBF-financed project board meeting will coincide as much as possible with the board meetings of IESG's "joint programme for universal suffrage elections", in attendance with different other bilateral donors and potential key partners, such as the UK, EU, Germany, Sweden, USAID, Norway, etc.

### **Project management arrangements**

UNDP will undertake the role of the overall project coordinator. Taking into consideration the two components of this project (i.e. technical assistance and infrastructure), UNOPS will manage the infrastructure component in accordance with its internal Project Management Manual and as outlined below, while the outlined electoral activities implemented by IESG's will be managed through UNDP.

#### **Project Board:**

The Board (Steering Committee) comprises senior representatives from UNDP, UNOPS, UNSOM, UNRCO on behalf of PBSO, the NIEC and other relevant partners/donors of IESG.

Given the strong interlinkages of the PBF project with IESG's electoral assistance project, PBSO will become a donor of the regular IESG Board Meetings and invited as a key partner of the NIEC and IESG electoral information sharing meetings.

#### **IESG Board:**

- UNDP/UNSOM IESG, UNOPS
- NIEC
- PBSO and other donors of IESG (EU, Germany, Sweden, UK, US, among others)

The main responsibility of the Board is to observe the alignment of its decisions with the project objectives and to ensure that the funds are used effectively towards the achievement of agreed deliverables. The role of the Board is to provide overall guidance and direction; review, amend and approve work plans and budgets; ensure risk management measures are in place; and ensure effective implementation of the Project. The Project Board will be responsible for the following:

- Provide general, high-level, strategic oversight to the project activities including financial oversight;
- Provide project and policy implementation oversight;
- Provide overall guidance and direction to the project, ensuring it remains within specified constraints;
- Approve annual work plans and budgets; and based on the approved annual work plans (AWP) authorize any major deviation from the approved work plans and budgets;
- Conduct meetings at least twice a year to review Project Progress Reports and provide direction and recommendations to ensure agreed deliverables are produced satisfactorily according to plans;
- Approve changes and amendments to the existing project document;
- Consider recommendations from the Technical Working Group (if any);
- Monitor progressive achievement of project objectives and provide guidance on long term sustainability of the project's achievements;
- Provide high-level quality assurance for project results and input and advice to on-going risk analysis;
- Undertake mobilization of funding for the project and consider funding for emerging issues;
- Review and approve the Final Project Review Report, including lessons learned;
- Commission project evaluation when required;
- Invite representatives of other project beneficiaries to inform on their specific activities and needs.

UNDP and UNOPS standard procedures will be applied for project assurance and tracking the implementation of the project in accordance with the outcomes, outputs and activities. The Project Board is envisaged to meet quarterly and ad hoc if necessary, throughout the project implementation period to ensure timely delivery of the works.

UNDP and UNOPS shall convene and chair the Project Board specifically for each of the components they are responsible. The Board Meeting shall be held at a mutually agreed place and date, preferably with VTC facilities between Mogadishu and Nairobi as a standard practice to accommodate all partners.

The consultations shall deal with the following issues:

- a) Review the progress of the Project,
- b) Discuss possible revisions of plans and budgets,
- c) Discuss issues of special concern for the implementation of the Project.

Within the SDRF framework, it is possible that the PWG-1 Sub-working Group 3 on Elections takes over part of the roles of the Board on a needs basis, on the condition that donor partners, UN and NIEC are present.

### **UNDP Project Responsibility**

Under the overall responsibility of the UNDP Resident Representative and directed by the leadership of the IESG leadership (Chief Electoral Advisor (UNSOM) and Deputy Chief Electoral Advisor (UNDP), the Project Manager (UNDP) is responsible for the managerial responsibilities and has a second programmatic reporting line to the UNDP Portfolio Manager for Inclusive Politics.

IESG is an effective integrated structure comprising a combination of UNSOM and UNDP international electoral advisers with specific professional areas of expertise, administrative assistants, international UNVs and national assistants based in Mogadishu. IESG is led by the Chief Electoral Advisor (UNSOM), a Deputy Chief Technical Advisor-Electoral (UNDP), and a Chief Electoral Operations Adviser (UNSOM). A (UNDP) Project Manager is responsible for the managerial responsibilities, and who has a second reporting line to the UNDP portfolio manager for Inclusive Politics.

### **Programme Assurance**

Programme Assurance is the responsibility of each Project Board member. UNDP, through Programme Oversight and Quality Assurance (POQA) will support the Programme Board by carrying out objective and independent programme oversight and monitoring functions. This role ensures appropriate programme management milestones are managed and completed. Programme assurance has to be independent of the Project Manager; therefore, the Project Board cannot delegate any of its assurance responsibilities to the Project Manager. The UNDP Country Office supports the quality of oversight provided by project and programme teams, and in addition supports internal reporting and compliance. It will also lead the third-party monitoring of all activities under the project. The UNDP Regional Hub for Amman and the headquarters Bureau for Policy and Programme Support will also support the UNDP Somalia Country Office to ensure project assurance, upon request.

### **UNOPS Project Governance**

Given the security situation and constraints, the governance structure needs to be both robust and flexible, and able to respond rapidly to any changing environment. UNOPS will establish the project governance structure based on the PRINCE2 project governance model. PRINCE2 project management methodology encompasses the management, control and organization of the project. It is recognized as a global best practice.

UNOPS Somalia Country Director or delegate will act as Project Executive throughout the lifecycle of the project. The Project Executive will determine resource allocation and approve the operating budget for the project. The Project Executive will have overall responsibility for successful delivery of the project, that the project gives value for money, and ensuring a cost-conscious approach to the project, in consultation with the Senior User and Senior Supplier.

The Senior Users will represent the viewpoint and interests of the NIEC. The Senior Users will confirm during the course of the project that activities conform to specified requirements and

standards. The senior supplier represents the interests of designing, facilitating, procuring and implementing. This role is accountable for the quality of the deliverables from the suppliers. UNOPS will therefore, be the principal supplier, and will be responsible for overall delivery of the project.

### **UNOPS Project Management Team**

The full-time UNOPS Project Management Team based in Mogadishu will provide direction to the executive team in the field. This team will be managing the day to day operations of the Project to ensure the smooth functioning of the Works, and to provide regular narrative and financial reporting. The composition of the UNOPS team is displayed in Annex x.

UNOPS will undertake contract management, on-site supervision, and Quality Assurance/Quality Control (QA/QC) in accordance with its internal procedures in order to ensure that design and quality requirements are met and that the Contractor makes sufficient provision in the timely delivery of the project. This will include the approval of all contractor payment submissions and their actual payment. On-site implementation – Security conditions permitting, the project supervision will be afforded through a UNOPS-engaged onsite team of qualified local project engineers. This will be supplemented by regular visits by the Mogadishu-based Project Manager and the QA/QC Engineering team to ensure international oversight and guidance. Regular follow up and improvement meetings will be established to review service level performance and quality compliance and recommend and agree prioritized improvements.

Upon completion of the construction activities and handover to relevant government authorities, UNOPS will manage the 12 months Defects Notification Period (DNP). This is the period between taking over and the final completion of the works, and the contract itself. The DNP is to enable time for any defects to become known and made good. Ideally this time period is sufficient for the works to pass through one seasonal cycle or a full cycle of use. Throughout the DNP, UNOPS will carry out regular inspection, highlighting any defect and seeing that the contractor makes good at their own cost. During this period UNOPS will retain 5% of contractor's construction cost and will be released upon satisfactory completion of the 12-month DNP. This is what will be referred to as final completion where UNOPS returns the bank guarantee for performance, makes the final payment to the contractor, and returns the final balance of the retention.

- b) **Risk management** – assess the level of risk for project success (low, medium and high) and provide a list of major project specific risks and how they will be managed, including the approach to updating risks and making project adjustments. Include any Do No Harm issues and project mitigation.

The UN MPTF offers a platform for joint risk-taking and risk-pooling. In such a complex environment, the UN MPTF and UNDP allow donors to pool and mitigate any risk associated with their investment, through diversification, sharing, and by benefiting from a fund risk management strategy. In addition, IESG has developed an elaborated risk management tool to monitor challenges, issues, risks and mitigation measures with regard to the entire electoral cycle.

While numerous risks and challenges can be identified, the top key risks related to the entire electoral cycle include:



1. Electoral Law: Significant delays to finalize and adopt the Electoral Law due to protracted political discussions could seriously affect the required timeline for the NIEC to plan for and start Voter Registration as per the schedule.
2. Voter Registration: If Voter Registration would not be inclusive or effective, the planning, integrity and credibility of the elections could be seriously affected. By lack of detailed population data in Somalia, the principle 'vote where you are registered' is a key anti-fraud mechanism to manage controlled ballot distribution during elections. Data management and protection are key issues that require a high level of supervision and control.
3. "Politicization" of electoral preparations: Lack of political will in support of universal elections will could seriously undermine the NIEC's decision-making and implementation capacity in the field.
4. Security: If significant parts of the population cannot be registered or cannot vote due to security constraints, certain areas/groups face exclusion in their representation.
5. Electoral disputes: inadequate implementation of electoral operations by NIEC workers in the field and lack of understanding of the electoral process and complaints mechanisms could lead to significant electoral disputes, and if unresolved accordingly, could lead to lack of credibility of the elections, acceptance of the results and possibly electoral violence

Risk	Likelihood	Impact	Mitigation	Responsible actors
Electoral disputes due to lack of understanding of electoral procedures and complaints management	H	H	Sound implementation of PBF funded project of cascade training to electoral workers and coordinated consultations with judges and other stakeholders on dispute resolution mechanisms, with monitoring of impact in the field	IESG
Risk that political instability, lack of political will, political capacity, and conflicts derail the electoral process	H	H	Close coordination with UNSOM/SRSG on political developments. Close coordination with security sector, including joint deployment of international security advisor in ROLSIG to provide depolitized polling centre threat assessments.	UNSOM / IESG
Risk that the complexity of conducting operations in Somalia would affect sound programme implementation, supervision, monitoring and evaluation	M	M	The Project is designed to provide tailored international capacity development to the NIEC, with international advisors in specific electoral niches.	IESG
Risk that the electoral regulatory framework would not be developed in time or inadequately, affecting the electoral process and timeline	H	M	The UN, in coordination with other international actors, works closely with Somali partners providing advice and assistance to the development of the electoral law according to best standards.	UNSOM / IESG
Risk that the proposed Project would have adverse impacts on marginalized groups, gender equality and/or the situation of women and girls	L	M	The UN has underlined inclusivity as a key element for Somalia's elections. Within the guidance of the Government and federal institutions, project stimulates the inclusion of women and marginalized groups and supports consultative forums to ensure adequate information sharing and transparency on the process.	IESG

- c) **Monitoring and evaluation** – What will be the M&E approach for the project, including M&E expertise in the project team and main means and timing of collecting data? Include a break-down of M&E budget that the project is putting aside, including for collection of baseline and end line data for indicators and independent



evaluation, and an approximate M&E timeline. Ensure at least 5-7% of the project budget is set aside for M&E activities.

As the lead partner for the coordination of the project, UNDP, through IESG, will monitor progress through first-hand observations, secondary reports from the NIEC, and third-party monitoring. Activities and progress will be tracked in accordance with the work plan and logframe. The Project includes the provision of an M&E specialist to update the logframe, monitor progress, challenges and risks, and ensure timely and sound reporting.

The Logframe will be the crucial monitoring tool, describing expected results and indicators with associated baselines, targets and means of verification against which the PM will monitor project progress. The Logframe will be integrated into the implementation of the project to track progress and impact. UNOPS tracks project progress through various means including careful monitoring of risks, issues, and lessons learned. All these are captured in an electronic database that is managed by the PM. Additionally, UNOPS has a robust reporting system in place to ensure that all activities are closely tracked.

The project includes spot checks on the roll-out of the cascade training programmes in terms of effectiveness, efficiency and gender breakdown.

- d) **Project exit strategy/ sustainability** – Briefly explain the project’s exit strategy to ensure that the project can be wrapped up at the end of the project duration, either through sustainability measures, agreements with other donors for follow-up funding or end of activities which do not need further support. If support from other donors is expected, explain what the project will do to try to ensure this support from the start.

The Project has a duration until August 2021. After adjudication of the electoral disputes and the closure of the current electoral cycle, IESG, NIEC and stakeholders will hold lessons learnt workshops. The analysis and the lessons learnt are to be documented and taken onboard in the NIEC’s new Strategic Plan for the next electoral cycle.

It is anticipated that after the elections, UNSOM, UNDP and donor partners will continue the UN Integrated Electoral Support Group (IESG) to assist the NIEC with the next electoral cycle. The UN and IESG will incorporate lessons learnt in their recommendations to enhance the electoral process in Somalia.

#### **IV. Project budget**

Please provide a brief justification for the proposed budget, highlighting any specific choices that have underpinned the budget preparation, especially for personnel, travel or other indirect project support, to demonstrate value for money for the project. Proposed budget for all projects must include funds for independent evaluation. Proposed budget for projects involving non-UN direct recipients must include funds for independent audit.

The project budget of USD 2,500,000 million is divided over two implementing partners, UNDP and UNOPS, each with a specific scope and budget.

UNDP manages the design and establishment of the EDRM, assistance to the drafting of regulations and procedures of the EDRM, and implementation of the electoral dispute resolution training programme for NIEC staff and key stakeholders, including judges.

UNDP's budget is USD 1,600,000 million for the entire project duration. A large component of the UNDP budget is for the implementation of the NIEC cascade training programme on dispute resolution to train 20-25 Master Trainers and approx. 125 Field Trainers, who eventually need to train a large number of temporary electoral workers during different electoral phases; plus in addition judges and other electoral stakeholders in Mogadishu and the FMS. The UNDP allocated budget includes the provision to recruit full-time for the duration of the project an Electoral Expert (FTA P4). The budget for M&E comprises USD 10,000. This includes first and second-hand monitoring, as well as third party evaluation of the project conducted by UNDP.

UNOPS is responsible for the construction of the NIEC EDR and stakeholder outreach facility at the NIEC HQ in Mogadishu. UNOPS budget is USD 900,000 for the duration of the first year of the project. The budget comprises a full-time site engineer, as well as 30% allocation of an international Project Manager/Engineer and Project Support Officer. The M&E budget is USD 47,392 to monitor and assess the construction works.

Fill out two tables in the Excel budget **Annex D**.

## **Annex A.1: Project Administrative arrangements for UN Recipient Organizations**

*(This section uses standard wording – please do not remove)*

The UNDP MPTF Office serves as the Administrative Agent (AA) of the PBF and is responsible for the receipt of donor contributions, the transfer of funds to Recipient UN Organizations, the consolidation of narrative and financial reports and the submission of these to the PBSO and the PBF donors. As the Administrative Agent of the PBF, MPTF Office transfers funds to RUNOS on the basis of the signed Memorandum of Understanding between each RUNO and the MPTF Office.

### **AA Functions**

On behalf of the Recipient Organizations, and in accordance with the UNDG-approved "Protocol on the Administrative Agent for Multi Donor Trust Funds and Joint Programmes, and One UN funds" (2008), the MPTF Office as the AA of the PBF will:

- Disburse funds to each of the RUNO in accordance with instructions from the PBSO. The AA will normally make each disbursement within three (3) to five (5) business days after having received instructions from the PBSO along with the relevant Submission form and Project document signed by all participants concerned;
- Consolidate the financial statements (Annual and Final), based on submissions provided to the AA by RUNOS and provide the PBF annual consolidated progress reports to the donors and the PBSO;
- Proceed with the operational and financial closure of the project in the MPTF Office system once the completion is completed by the RUNO. A project will be considered as operationally closed upon submission of a joint final narrative report. In order for the MPTF Office to financially close a project, each RUNO must refund unspent balance of over 250 USD, indirect cost (GMS) should not exceed 7% and submission of a certified final financial statement by the recipient organizations' headquarters.);
- Disburse funds to any RUNO for any costs extension that the PBSO may decide in accordance with the PBF rules & regulations.

### **Accountability, transparency and reporting of the Recipient United Nations Organizations**

Recipient United Nations Organizations will assume full programmatic and financial accountability for the funds disbursed to them by the Administrative Agent. Such funds will be administered by each RUNO in accordance with its own regulations, rules, directives and procedures.

Each RUNO shall establish a separate ledger account for the receipt and administration of the funds disbursed to it by the Administrative Agent from the PBF account. This separate ledger account shall be administered by each RUNO in accordance with its own regulations, rules, directives and procedures, including those relating to interest. The separate ledger account shall be subject exclusively to the internal and external auditing procedures laid down in the financial regulations, rules, directives and procedures applicable to the RUNO.

Each RUNO will provide the Administrative Agent and the PBSO (for narrative reports only) with:

Type of report	Due when	Submitted by
Semi-annual project progress report	15 June	Convening Agency on behalf of all implementing organizations and in consultation with/ quality assurance by PBF Secretariats, where they exist

Annual project progress report	15 November	Convening Agency on behalf of all implementing organizations and in consultation with/ quality assurance by PBF Secretariats, where they exist
End of project report covering entire project duration	Within three months from the operational project closure (it can be submitted instead of an annual report if timing coincides)	Convening Agency on behalf of all implementing organizations and in consultation with/ quality assurance by PBF Secretariats, where they exist
Annual strategic peacebuilding and PBF progress report (for PRF allocations only), which may contain a request for additional PBF allocation if the context requires it	1 December	PBF Secretariat on behalf of the PBF Steering Committee, where it exists or Head of UN Country Team where it does not.

#### Financial reporting and timeline

Timeline	Event
30 April	Annual reporting – Report Q4 expenses (Jan. to Dec. of previous year)
<i>Certified final financial report to be provided by 30 June of the calendar year after project closure</i>	

UNEX also opens for voluntary financial reporting for UN recipient organizations the following dates

31 July	Voluntary Q2 expenses (January to June)
31 October	Voluntary Q3 expenses (January to September)

Unspent Balance exceeding USD 250, at the closure of the project would have to be refunded and a notification sent to the MPTF Office, no later than six months (30 June) of the year following the completion of the activities.

#### Ownership of Equipment, Supplies and Other Property

Ownership of equipment, supplies and other property financed from the PBF shall vest in the RUNO undertaking the activities. Matters relating to the transfer of ownership by the RUNO shall be determined in accordance with its own applicable policies and procedures.

#### Public Disclosure

The PBSO and Administrative Agent will ensure that operations of the PBF are publicly disclosed on the PBF website (<http://unpbf.org>) and the Administrative Agent's website (<http://mptf.undp.org>).

**Annex B: Project Results Framework (MUST include sex- and age disaggregated data)**

Outcomes	Outputs	Indicators	Means of Verification/ frequency of collection	Indicator milestones
<p><b>Outcome 1:</b> EDR mechanism is effectively strengthened in its capacity to prevent the outbreak of electoral violence by mitigating and resolving electoral complaints through formal and informal dispute resolution</p>	<p><b>Output 1:</b> EDRM mechanism established, resourced, implemented and understood by all electoral stakeholders</p>	<p><b>Outcome 1 a</b> Outcome 1.1. % of electoral disputes resolved in a correct, timebound and peaceful manner through formal dispute resolution (courts) and NIEC dispute resolution body/staff for local alternative dispute mediation (NIEC) Baseline: NA Target: 80%</p> <p><b>Output Indicator 1.1</b> EDRM mechanism and structure designed and established. EDR regulations and procedures drafted and adopted Output Indicator % Regulations and procedures on EDR developed and approved by NIEC. Baseline: NA Target: 100%</p> <p><b>Output Indicator 1.2</b> % of Master Trainers (10-15). Field Trainers (ca. 65) to ensure continued cascade training to thousands of electoral workers in the field Baseline: NA Target: 100%, minimum 30% women</p> <p><b>Output Indicator 1.3</b> % of electoral workers (up to 3,000) in the field that received the required training on electoral dispute resolution mechanisms and complaints management Baseline: NA Target: 100%, minimum 30% women</p> <p><b>Output Indicator 1.4</b></p>	<p>NIEC reports Observer reports Court processes Media reports UN reports and other international organizations Frequency: during each of the following electoral operations that includes an official complaints and appeals process: voter registration, display of provisional voters list, polling, counting and tabulation of results.</p> <p>EDRM Periodic reports on cases reported. Minutes of meetings and decisions adopted NIEC reports and NIEC messages on social media (ad hoc, monthly, quarterly) ESG first-hand reports (weekly, monthly, quarterly) UNDP/ESG Third Party monitoring Media and other sources Minutes of NIEC information sharing meeting (monthly) and Project Board meeting (semi-annual)</p> <p>Court orders.</p>	<p>-Capacities of the Independent Electoral Commission (NIEC) further strengthened and made fully operational -Voter registration implemented for 2020 elections --Increased participation of citizens in political processes and elections 2020</p> <p>Number of cases adjudicated Tailored and gender sensitive training manual developed + illustrative supporting material Training of NIEC Master Trainers Master trainers activating cascade training system Field Trainers in FMS NIEC Field Trainers providing training to NIEC workers regions/districts, and elsewhere in the field Spot-check controls to monitor effectiveness and efficiency of the implementation of EDR</p>

	<p>Output 2: NIEC stakeholder outreach and EDR facilities are developed at NIEC HQ, including security enhancements</p>	<p>Output Indicator 2: Accessible and gender-supportive facilities constructed at the NIEC Compound for EDR, training and meeting purposes with NIEC. Baseline: 0 Target: At least 10 prehab offices and conference rooms are erected to conduct EDR trainings on dispute resolution and host electoral stakeholders for conferences on the topic</p>	
	<p>Output Indicator 1.5 # of political actors, local leaders, elders, CSOs, youth and media group trained on electoral procedures, regulations and electoral dispute resolution Baseline: NA Target: TBD</p>	<p>NIEC reports and NIEC messages on social media (ad hoc; monthly; quarterly) IESS first-hand reports (weekly; monthly; quarterly) UNDP/IESS Third Party monitoring Media and other sources</p>	<p>NIEC engagement with judges and key electoral stakeholders tailored and gender sensitive consultation manual developed on complaints management and dispute resolution Organization of consultations with relevant judges at federal and state level Organization of consultations with key stakeholder (parties, observers, civil society, elders, etc. on electoral procedures and dispute resolution.</p>
		<p>Frequent site visits UNOPS first-hand reports Quality control reports NIEC reports IESS reports Certification of completeness of construction</p>	<p>Development of compound sketch and engineer plan, approved by NIEC Design and BOQ approved, timely procurement process, contract award Start of construction as per agreed timeline Quality assurance control Finalization of works as per agreed timeline</p>



Annex C: Checklist of project implementation readiness

Question	Yes	No	Comment
1. Have all implementing partners been identified?	X		
2. Have TORs for key project staff been finalized and ready to advertise?	X		
3. Have project sites been identified?	X		
4. Have local communities and government offices been consulted/ sensitized on the existence of the project?	X		
5. Has any preliminary analysis/ identification of lessons learned/ existing activities been done?	X		
6. Have beneficiary criteria been identified?	X		
7. Have any agreements been made with the relevant Government counterparts relating to project implementation sites, approaches, Government contribution?	X		
8. Have clear arrangements been made on project implementing approach between project recipient organizations?	X		
9. What other preparatory activities need to be undertaken before actual project implementation can begin and how long will this take?		N/A	

Annex D: Detailed and UNDG budgets (attached Excel sheet) (in USD)

✓

Annex E: Staffing structure

**For the training component (UNDP implemented), the proposal foresees for the entire duration of the project the full-time deployment of:**

- ❖ 1 International Elections Expert (on electoral dispute regulations, electoral procedures and training) – FTA P4.
- ❖ 1 Project Management Specialist – FTA P3
- ❖ Electoral specialists on a needs basis (consultancies)

**For the construction component (UNOPS implemented), the proposal foresees budget allocation for:**

- ❖ Project Manager – engineer (30%)
- ❖ Project Support Officer (30%)
- ❖ Site Engineer (100%)
- ❖ Health and Safety Officer (10%)

Furthermore, the PBF project has interlinkages with IESG. This PBF project can fall back for assistance with the implementation on the entire IESG team, already in place and funded through UNSOM and UNDP. The UNDP/UNSOM Integrated Electoral Support Group (IESG) is an effective integrated structure comprising a combination of UNSOM and UNDP international electoral advisers with specific professional areas of expertise, administrative assistants, international UNVs and national assistants based in Mogadishu and in the different FMS.

IESG management: The UN's Integrated Electoral Support Group (IESG) is led by the Chief Electoral Advisor (UNSOM), a Deputy Chief Electoral Advisor (UNDP), and a Chief Electoral Operations Adviser (UNSOM). A (UNDP) Project Manager is responsible for the managerial responsibilities, and who has a second reporting line to the UNDP portfolio manager for Inclusive Politics. In addition, IESG relies on significant support respectively from UNSOM/UNSOS and UNDP Somalia, with regard to HR, admin, finance, operations, security, corporate requirements, etc.

The support provided by UNOPS ties also into the wider UNOPS staffing capacity in Somalia

UNOPS Position Title	Main roles and responsibilities
Head of Programme	Assumes role of Senior Supplier on the Project Board, working in close consultation with the designated focal point (as Senior Executive). Assists the Project Board, with the support of the UNOPS Head of Programme Management Office, with routine assurance throughout the project. Supervises the Project Managers.
Head of Programme Management Office	The Head of Programme Management Office ensures that the project management policies, processes and methods are followed and practiced according to the organisations standards while acting as the overall project assurance capacity within the business unit on behalf of the Project Board.
Project Manager	A UNOPS-appointed dedicated International Project Manager with the appropriate skills and experience in similar challenging environments. The Project Manager assumes overall responsibility for delivery of the project, on a day-to-day basis, and will report directly to the Project Board. The Project Manager undertakes regular periodic visits to the site and hold progress review meetings with the key stakeholders.

**Project Support Officer** The Project Support Officer (PSO) provides direct administrative and financial support to the Project Manager and specific financial accountancy during the lifespan of the project. The PSO ensures that all assets (physical, financial and human) are engaged effectively and in the most cost-effective manner possible. The PSO ensures accurate records are kept in terms of funds received and disbursed.

**Site Engineer** The Site Engineer will report to the Senior National Engineer on day to day construction activities in accordance with the project work-plan, and including contractual obligations of nominated contractors

**Health and Safety Officer** The Health and Safety Officer will ensure that construction workers are following the established health and safety rules and regulations. This will include ensuring that workers are appropriately dressed while on the construction site and are equipped with hard hats, high visibility vests, proper footwear etc. The HSO will take on additional roles and responsibilities, but his/her primary job will be to help create safer construction site and working environment. The HSO will work closely with the senior national engineer and site engineer.

Annex F: Risks

Description	Type	Impact & Probability	Countermeasures/ Mngt response
Risk that poor training programs totally derail the technical understanding and skills of electoral workers in the field to conduct the electoral operations as per the NIEC regulations and procedures	Operational	P: 3 I: 5	Development of cascade training programme on different electoral operations in the field
Risk that by lack of a secure and neutral NIEC centre, the effectiveness and the credibility of the NIEC to conduct the elections is jeopardized	Political, security operational	P: 3 I: 5	Development of a secure NIEC Centre in a neutral location  Support to NIEC to strengthen independence and impartiality towards all electoral stakeholders
Risk that poor elections and a biased process would affect the acceptance of the election results.	Political	P: 2 I: 4	Secure facilities in place for observers to monitor the process  Support to NIEC to strengthen independence and impartiality towards all electoral stakeholders
Risk that widespread rejection of the election results would spark electoral violence, deepen clan divisions, and drastically setback Somalia's political and electoral progress	Political, security	P: 3 I: 5	Support to NIEC to strengthen independence and impartiality towards all electoral stakeholders  Enhanced mediation efforts by international interlocutors
There is a risk that political uncertainties draw away focus, willingness and resources from the preparations and capacity development required for universal elections.	Political / Strategic	P = 2 I = 4	The renewed mandate of UNSOM in UNSCR underscores the UN's support to universal elections NAM recommendations
Risk that limited government capacity and unknown access and effectiveness at the sub-national level affects sound programme implementation, supervision, monitoring and evaluation	Organizational	P = 3 I = 4	IESG is designed to provide tailored international capacity development to the NIEC, with international advisors in specific electoral niches.
Risk that political instability, lack of political will, political capacity, and conflicts (including AS) derail the process towards universal elections	Political	P = 2 I = 4	Close coordination with UNSOM/SRSG on political developments Close coordination with security sector, including joint deployment of international security advisor in ROLSIG to provide depolitized polling centre threat assessments
Risk that the complexity of conducting operations in Somalia would affect sound programme implementation, supervision, monitoring and evaluation	Operational	P = 3 I = 4	IESG is designed to provide tailored international capacity development to the NIEC, with international advisors in specific electoral niches

<b>Risk that the electoral regulatory framework would not be developed in time affecting progress towards universal elections</b>	Regulatory	P = 2 I = 4	IESG support is designed to provide tailored international advisers on electoral systems, guiding the counterparts throughout entire drafting process of the Law
<b>Security conditions adversely impact the frequency with which UN advisers can work closely with government partners and other stakeholders.</b>	Environmental / Security	P = 2 I = 3	UN to use alternative means such as videoconferencing. IESG is working with other actors, including agencies, programmes and projects that support the Somali governments with the establishment of a security framework and an elections security task force.
<b>Long-term sustainability of electoral processes in Somalia could become an issue if the national electoral management bodies (NIEC) does not receive sufficient funding through the government budget and is dependent on international funding.</b>	Finance	P = 4 I = 3	IESG works together with the NIEC, donor partners and other stakeholders to include an adequate budget for the NIEC in the Government's annual budget. An electoral Needs Assessment Mission (NAM) was conducted that discussed with national and international partners the need for an electoral capacity development framework towards universal elections by 2020. The NAM defined essential aspects for UN support in 2018. It is envisaged that a NAM will be deployed on an annual basis to take stock on progress and challenges.
<b>Risk that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups.</b>	Social and Environmental Screening	P = 2 I = 4	The NAM has underlined inclusivity as a key element for the UN in the preparations for future universal elections. Within the guidance of the Government and federal institutions, project supports consultative forums with the public, and works with media to ensure adequate information sharing and transparency on the process.
<b>Risk that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them</b>	Social and Environmental Screening	P = 2 I = 3	The NAM has underlined inclusivity as a key element for the UN in the preparations for future universal elections. Within the guidance of the Government and federal institutions, project supports consultative forums with the public, and works with media to ensure adequate information sharing and transparency on the process.
<b>Risk that duty-bearers do not have the capacity to meet their obligations in the Project</b>	Social and Environmental Screening	P = 2 I = 4	The UN strategy on future universal elections looks into rights-holders and their capacity to claim their rights.
<b>Risk that rights-holders do not have the capacity to claim their rights</b>	Social and Environmental Screening	P = 2 I = 3	Project activities have gender components and gender plans and these are considered through all project activities. For example, trainings on "Gender Responsive Elections". There is collaboration amongst UN gender experts and focal persons from the Joint Programme for Electoral Support, the UNSOM/UNDP Rule of Law & Security Institutions Group (ROLSIG), the UN Resident Coordination Office (RCO) and UNDP CO on gender concerns.
<b>Risk that the proposed Project would have adverse</b>	Social and Environmental	P = 2 I = 3	Project activities have gender components, gender plans and these are considered



impacts on gender equality and/or the situation of women and girls	ntal Screening		through all project activities. For example, trainings on "Gender Responsive Elections". There is collaboration amongst UN gender experts and focal persons.
Electoral Law - Significant delays to finalize and adopt the Electoral Law due to protracted political discussions could seriously affect the required timeline for the NIEC to plan for and start Voter Registration as per the schedule.	Political	P=2 I=4	Engage advisory support to actors to facilitate the finalization and adoption of the Electoral Law. UN good offices to liaise with key actors when required.
Voter Registration: If Voter Registration would not be inclusive or effective, the planning, integrity and credibility of the elections could be seriously affected. By lack of detailed population data in Somalia, the principle "vote where you are registered" is key anti-fraud mechanism to manage controlled ballot distribution during elections. Issue of data management and protection.	Political / Operational	P=4 I=4	GIS mapping of voter allocation areas, followed by field verification of potential voter registration sites, to ensure all voters can register in accessible places. Sound security planning in sync with VR operations.
Political will and "politicization" of electoral preparations: Lack of political will in support of universal elections will could seriously undermine the NIEC's decision-making and implementation capacity in the field.	Political	P=3 I=3	Support NIEC to engage with political actors to explain mandate and electoral processes. UN Good Offices liaising with key political stakeholders.
Security: If significant parts of the population cannot be registered or cannot vote due to security constraints, certain areas/groups face exclusion in their representation.	Political / security	P=4 I=3	GIS mapping of voter allocation areas, followed by field verification of potential voter registration sites, to ensure all voters can register in accessible places. Sound security planning in sync with VR operations.
Funding: Costs for elections and voter registration are significant as in every country. Procurement and logistical preparations for electoral operations such as VR require multiple preparatory months, as per international best practices. As the government's financial situation is limited, it is anticipated that the international community might be requested to provide complementary financial support in a	Political / financial	P=3 I=4	Phased approach with milestones to generate confidence for funding of next phases. Close partnership with all key actors. Sound planning and budgeting for each electoral phase.

sustainable manner, while donors would expect an inclusive, transparent and credible process.			
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Risk Description	Probability	Impact	Risk Management Measures
Volatile political and security environment in Somalia affecting the project delivery effectiveness and disrupting the supply chain.	High	High	<p>Closely monitor security developments and develop contingency plans.</p> <p>As already practiced by all UN entities, the project will operate in accordance with UNDSS rules and guidelines.</p> <p>In cases where project activities are halted due to deteriorating security, UNDP and UNOPS will hold meetings with relevant government counterparts in order to identify the best course of action.</p>
Lack of availability of performing local service providers.	Medium	High	Procure regional or international service providers for the different required services.
Change in relationship with federal authorities.	Low	High	<p>Extensive liaison with FGS, and regional authorities. Ensure close liaising and inclusivity of the NIEC in all decision making.</p> <p>Extensive liaison with local authorities in charge of providing security, NIEC in particular;</p>
Physical access to site difficult or restricted.	Medium	High	<p>Re-schedule of the Work Plan and escalating issues to the Project Board especially when it is foreseen to impact the time and budget.</p> <p>Construction areas to be fenced and marked off that no public may enter.</p>
Safety of workers and public whilst construction proceeds.	High	High	<p>Site safety meetings be conducted for workers.</p> <p>Health and Safety Officer regularly visits construction sites and reports any risks and actions required. Building Engineer and Project Manager to monitor daily. If any risks then action immediately taken to either correct or close off the area and site.</p>

**Table 2 - PBF project budget by UN cost category**

Note: If this is a budget revision, insert extra columns to show budget changes.

CATEGORIES	Amount Recipient Agency UNDP		UNDP TOTAL	Amount Recipient Agency UNOPS		Total tranche 1	Total tranche 2	PROJECT TOTAL
	Tranche 1 (70%)	Tranche 2 (30%)		Tranche 1 (100%)	Tranche 2 (0%)			
1. Staff and other personnel	420,000	180,000	600,000	123,750	-	543,750	180,000	723,750
2. Supplies, Commodities, Materials	14,000	6,000	20,000	-	-	14,000	6,000	20,000
3. Equipment, Vehicles, and Furniture (including Depreciation)	-	-	-	-	-	-	-	-
4. Contractual services	478,309	204,990	683,299	601,230	-	1,079,538	204,990	1,284,528
5. Travel	14,000	6,000	20,000	27,392	-	41,392	6,000	47,392
6. Transfers and Grants to Counterparts	-	-	-	-	-	-	-	-
7. General Operating and other Direct Costs	120,420	51,609	172,029	88,750	-	209,170	51,609	260,779
<b>Sub-Total Project Costs</b>	<b>1,046,729</b>	<b>448,598</b>	<b>1,495,327</b>	<b>841,122</b>	<b>-</b>	<b>1,887,851</b>	<b>448,598</b>	<b>2,336,449</b>
8. Indirect Support Costs (must be 7%)	73,271	31,402	104,673	58,879	-	132,150	31,402	163,551
<b>TOTAL</b>	<b>1,120,000</b>	<b>480,000</b>	<b>1,600,000</b>	<b>900,000</b>	<b>-</b>	<b>2,020,000</b>	<b>480,000</b>	<b>2,500,000</b>

