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PROGRAMME QUARTERLY PROGRESS REPORT

Period: Q3 2016

Project Name	Support to Emerging Federal States (StEFS)
Gateway ID	00101061
Start date	01-April-2016
Planned end date (as per last approval)	31-March-2018
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PSG	PSG 1: Inclusive Politics (<i>primary</i>): Achieve a stable and peaceful federal Somalia through inclusive political processes
	PSG 5: Revenue and Services (<i>secondary</i>): Increase the delivery of equitable, affordable and sustainable services that promote national peace and reconciliation amongst Somalia's regions and citizens and enhance transparent and accountable revenue generation and equitable distribution and sharing of public resources.
Priority	PSG 1 – Priority 1: Advance inclusive political dialogue to clarify and settle relations between the federal government and existing and emerging administrations and initiate processes of social reconciliation to restore trust between communities.
	PSG 5 – Priority 1: Increase the provision of equitable, accessible and affordable social services by creating a regulatory environment that promotes decentralized delivery and prioritizes key investments that extend and increase access to services.
Milestone	PSG 1 – Priority 1: <ol style="list-style-type: none"> 1. National reconciliation commission established and peacebuilding and reconciliation programmes developed; 2. Inclusive consultations on the establishment of administrations conducted in at least 10 regions and administrations established; 3. Inter-regional dialogue on the formation of federal states initiated; 4. Annual conference on political dialogue with the executive head of states of existing and emerging administrations convened by the FGS; 5. Decision on the federal model reached.
	PSG 5 – Priority 1: <ol style="list-style-type: none"> 4. Functional assignments among ministries and between local, regional and the FGS are formally established for existing service-delivery policies and programmes as step towards the development of a regulatory framework for service delivery.
Location	National and Regional (South and Central Somalia)
Gender Marker	2

Total Budget as per ProDoc	US\$13,991,639
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SOMALIA UN MPTF

MPTF:	US\$8,313,725
Non MPTF sources:	PBF: US\$1,800,000
	UNDP Trac: US\$500,000
	UNSOM: US\$283,589
	Switzerland: US\$100,000
	Resources to Mobilize: US\$2,994,325

Total MPTF Funds Received			Total non-MPTF Funds Received	
PUNO	Current quarter	Cumulative	Current quarter	Cumulative
UNDP	3,666,777	4,561,760	255,185	255,185

JP Expenditure of MPTF Funds			JP Expenditure of non-MPTF Funds	
PUNO	Current quarter	Cumulative	Current quarter	Cumulative
UNDP	1,051,699	1,373,264	309,220	428,152

SITUATION UPDATE

Security Developments:

- The security situation in Mogadishu is deteriorating due to progressively increased attacks from Al Shabaab. In the short period of 27 – 31 July, AS carried out four VBIED attacks. Also AS assassination attempts increased during this reporting period. The joint AMISOM and SNA elections security plan will be crucial in stemming the threat posed by VBIED as the for the 2016 elections important milestones are quickly approaching.

Political Developments:

- *Hiraan and Middle Shabelle:* The impasse in the Hiraan and Middle Shabelle state formation process continued in Q3-2016. Disagreements between the FGS leadership and the Hawiye/Hawadle sub-clan chief are largely responsible for halting the process. In July, the Inter-Governmental Authority on Development (IGAD) conducted visits in an attempt to broker an agreement between the two parties, but were unsuccessful. Instead four Hiraan clan chiefs, including the Hawiye/Hawadle sub-clan chief, declared their intention to consider forming an independent Hiraan state on its own, cementing their refusal of FGS proposals. At the same time, the Governors of both Hiraan and Middle Shabelle have complained of being sidelined and are considering establishing an interim administration to unlock the state formation process. Elders from the regions have advised IGAD to slow down the process to allow time for genuine reconciliation and a “bottom up” approach. On 1 September, a Hiraan and Middle Shabelle Coordination Committee comprised of politicians from both regions was established during a meeting in Mogadishu of Somali presidential candidates, political associations, MPs, traditional elders and members of the business community of Hiraan and Middle Shabelle. The members of the Committee stated that the re-launch of the state formation process could lead to conflict. Representatives from the Upper Bakool have reportedly been visiting Beletweyne to discuss the possibility of an Upper Bakool-Hiraan State. There are also reports that ASWJ has been in meetings to discuss alternative scenarios for state formation.

On 20 September 2016, Hiran clan chiefs supported by at least one MP, unilaterally stated that they will form their own Hiran state. During the PSG 1 meeting on 21 September, the FGS made clear that this unilateral action should be seen in the bigger context of the ongoing negotiation process with the clan chiefs and Ugaas Hassan



SOMALIA UN MPTF

in particular. Both IGAD and UNSOM made clear that there will be no support for the unilateral action taken by the clan chiefs in Beletweyne.

The FSG succeeded in bringing 30 clans together who shared the 71 seats on a peaceful manner, while particular attention was paid to the participation of minorities. They collectively decided that the election will take place in Jowhar and that Mogadishu will serve as an alternative location. The FGS reiterated its commitment to get the remaining stakeholders to the negotiating table.

- *Galmudug Interim Administration (GIA)*: In July, the Galmudug President committed to expedite an outstanding reconciliation with Ahlu Sunna Wal Jama'a (ASWJ). On 8 July, ASWJ deployed its forces toward Galmudug-controlled areas, which increased tension in the region. The act was borne out of frustration over the lack of progress in reconciliation. IGAD has proposed a formal dialogue between Galmudug and ASWJ representatives in Baidoa, Bay region. On 24 August, Puntland issued a vehicle ban, garnering a response from the Cabinet of GIA on 29 August. The statement calls on Puntland to avoid any act that would further create instability in the area and hamper the socioeconomic development of both administrations. Talks between the governors, mayors and police commissioners of Puntland and Galmudug to address the vehicle movement ban between north and south Galkayo and common security concerns was held.
- *Jubbaland State of Somalia (JSS)*: On 16 July, the JSS President appointed a new Governor for Gedo region. The outgoing Governor subsequently issued a strong critique of the Juba Administration, causing instability in the region. To quell tensions, the First Vice President began a visit to Gedo region to promote reconciliation among the clans.
- *Interim South West Administration (ISWA)*: Early in the third quarter, Al-Shabaab seized three towns in Bakool (Rabdhure and Garasweyne) and Lower Shabelle (Merka) region.

Gender: Realizing the goal of 30 percent reserved seats for women in both Houses of the Parliament in the forthcoming electoral process has been the main focus of UNSOM's work on gender and women, peace and security in August. The Committee of Goodwill Ambassadors and the Ministry of Women and Human Rights Development met with the NLF leaders to negotiate on the 30 percent quota and undertook two regional advocacy missions to Galmudug and Jubaland. The Somali Women's Leadership Initiative and RAD Foundation continued their mobilization and campaigning work, including on electronic media.

On 24th August, the UNDP Administrator visited Somalia and held consultative meeting with members of women leaders, civil society organizations, officials of the federal Ministry of Women and Human Rights Development, and UN personnel. The purpose of her visit was to get a firsthand account of the situation in Somalia and verify that what UNDP is doing as a partner of FGS is what UNDP should be doing to support Somalia's movement forward including women empowerment in politics and development. Representatives of Somali civil society organizations expressed concern that the 30 percent quota may not be achieved in the forthcoming electoral process. They included a group of goodwill ambassadors appointed by the President to advocate in favor of greater gender representation in the legislative branch of government. The UNDP Administrator said she strongly backs the 30 per cent quota for female representation in both houses of the country's next federal parliament.

QUARTERLY PROGRESS REPORT RESULTS MATRIX

Output 1: The political dialogue and consultations around federalism and state formation have been supported

PROGRESS ON OUTPUT INDICATOR



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INDICATOR	TARGET	THIS QUARTER	CUMULATIVE 2016
# of interim federal states with agreed upon charters and approved constitutions	2*	1*	1
# of inclusive mediation processes supported and led by interim FMS/FGS	2 (30% women)	3 (32% women)	4 (26% women)
% of state administration staff trained in conflict management and community problem solving (disaggregated by sex)	50% in 3 interim FMS (30% women)	1(26%)	1(26%)
# of inclusive consultations undertaken on federalism and federal states endorsement process by the FGS	2	1*	1
<p><i>Sources of Evidence: (1) Role of Women in conflict resolution – workshop report, signed participant list and photos; (2) Gedo peace conference – workshop report, video link, photos; (3) Galmudug reconciliation conference in Galkayo – workshop report, signed participant list and photos; and (4) Ceasefire reconciliation Training workshop for Merka ceasefire monitoring & support– workshop report, signed participant list and photos;</i></p> <p><i>Notes:</i> * Official ceremony for reviewing and endorsing state constitution for Hiiran and Middle Shabelle was launched in Q3 and constitution is to be approved in Q4.</p>			
<p>Output 2: The capacity of the FGS, particularly those institutions engaged in the federalism process, is strengthened</p>			
INDICATOR	TARGET	PROGRESS ON OUTPUT INDICATOR	
		THIS QUARTER (Jul-16 to Sept-16)	CUMULATIVE 2016
# of technical advisors/officers (TA/Os) and interns provided to BFC to assist in policy development and implementation (disaggregated by sex)	2 TA/Os & 3 interns	2 TA/Os (1M:1W) & 3 interns (2M:1W)	2 TA/Os (1M:1W) & 3 interns (2M:1W)
# (and %) of BFC members with access to basic equipment (disaggregated by sex)	9 (100%)	completed *	completed
# of approved draft policy/strategy on federalism and boundary demarcation	1	0**	0
# of TA/Os (or desk officers) and interns provided to FGS MoIFA/OPM to assist in policy development and implementation on federalism process (disaggregated by sex)	2 TA/Os & 5 interns each	9 TA/Os (7M:2W)*** & 10 interns (7M:3W) at MoIFA 2 TA/Os (2M)**** & 1 Intern (1W) at OPM	9 TA/Os (7M:2W) & 10 interns (7M:3W) at MoIFA 2 TA/Os (2M) 1 Intern (1W)
% of MoIFA units that receive office equipment	70%	--*	--*
# of consultations with regions and emerging states convened and facilitated by FGS/MoIFA	1	2	2
<p><i>Sources of Evidence: (1) Human resources (HR) tracking sheet, contracts of employment, time sheets and monthly reports; and (2) BFC consultative workshops – workshop reports, signed participant list.</i></p> <p><i>Notes:</i></p>			



SOMALIA UN MPTF

* No new equipment was provided to the FGS in Q3 2016 by StEFS project. But all nine BFC members and 50% of MoIFA federal directorate departments received office equipment support through the PIP project.
 ** A draft strategic framework on boundary delimitation has been developed but is not yet finalized or approved.
 *** FGS/MoIFA is provided with five technical advisors (4M:1W) and four desk officers (3M:1W) in Q2 of 2016.
 **** FGS/OPM is provided with two technical advisors (both men) and one intern (woman).

Output 3: Foundational support to interim state administrations to ensure an appropriate physical working environment is provided

INDICATOR	TARGET	PROGRESS ON OUTPUT INDICATOR	
		THIS QUARTER (Jul-16 to Sept-16)	CUMULATIVE 2016
# of interim/federal member states with baseline assessments conducted prioritizing key infrastructure support for the Cabinet/ministries/agencies of the interim administrations	2	2	2
# of new or rehabilitated infrastructure projects undertaken in the interim administrations/states	2	3 (1 completed; 2 in progress)	3 (1 completed; 2 in progress)

Sources of Evidence: (1) Galmudug Baseline Report (E55) – baseline data and Fact sheet; Jubbaland Baseline Data; ISWA infrastructure project – (Handover report, invitation email for the opening ceremony photos); (2) JSS infrastructure project – Bid analysis sheet, draft contracts, declaration form; and (3) Galmudug infrastructure project – Bid analysis sheet, draft contract, declaration form.

Output 4: The capacity of interim state administrations with a dedicated focus on ‘core public sector capacities’ is enhanced

INDICATOR	TARGET	PROGRESS ON OUTPUT INDICATOR	
		THIS QUARTER (Jul-16 to Sept-16)	CUMULATIVE 2016
# of baseline assessments completed and used to prioritize human resource and other needs	2	2*	2
# of technical advisors/officers and interns supported in interim state administrations for organizational development and planning processes (disaggregated by sex)	3 TA/Os & 8 interns in each interim FMS	ISWA: 3 TA/Os (all men) JSS: 2 TA/Os (2M:0W) & 9 interns (8M:1W) GIA: 3 TA/Os (2M:1W) & 10 interns (6M:4W)	ISWA: 3 TA/Os (all men) JSS: 2 TA/Os (2M:0W) & 9 interns (8M:1W) GIA: 3 TA/Os (2M:1W) & 10 interns (6M:4W)
% of staff members of beneficiary state ministries/agencies that receive trainings on core of government functions (disaggregated by sex)	50%	JSS: 25% (79M:26W)**	JSS: 28% (88M:29W)
# of coordination structures established	2	1 (on progress) ***	1 (on progress)



SOMALIA UN MPTF

% of interim federal member state ministries that have organization structure and terms of reference in place	30%	0%	0%
<i>Sources of Evidence:</i>			
<i>Notes:</i>			
* The Jubbaland and Galmudug baseline assessments have been completed. Draft fact sheet for Galmudug was developed and consolidated data for both states were also developed.			
** JSS currently has a total of 426 paid/unpaid staff (324M: 102W). Seventy senior staff (49M:21W) of the Jubbaland State Ministries were trained on good governance and federalization process.			
*** The project initiated drafting Aid Coordination Unit strategy for emerging federal states which is in line with the National Development Plan of the Federal Government of Somalia. The strategy is expected to be completed in Q4.			
Output 5: Civic participation and engagement with interim state administrations is strengthened			
INDICATOR	TARGET	PROGRESS ON OUTPUT INDICATOR	
		THIS QUARTER (Jul-16 to Sept-16)	CUMULATIVE 2016
% of citizens with improved perceptions on federalism (disaggregated by sex)	N/A*	N/A	N/A
# of public outreach campaigns on federalism/state formation	1 in each of 2 interim FMS	JSS: 1** ISWA: 1 MOIFA: 2***	JSS: 1 ISWA: 1 MOIFA: 2
# of public accountability forums held by interim federal member states towards citizen and government engagement process	1 in each of 2 interim FMS	0	0
# of CSOs and # of citizens participating in state planning processes (disaggregated by sex)	10 CSOs & 300 citizens in each of 3 interim FMS	JSS: CSOs: 30% (5M: 42W) Citizen: 20% (61M)	JSS: CSOs: 30% (5M: 42W) Citizen: 20% (61M)
<i>Sources of Evidence:</i>			
<i>Notes:</i>			
* For 2016, the target is to complete the first round of the baseline survey in at least three emerging federal member states. The inception report for the survey has been finalized and data collection is expected to start in Q4-2016.			
** Federalism public outreach campaigns through local radios for 45 days in Jubbaland and South West were launched in August 2016. The campaign will aim to educate and inspire the public on Federalism and its benefits for Somalia. The messages will be produced in standard Somali language and dialect to ensure a national appeal.			
*** MOIFA conducted two rounds of TV and Radio debates on Federalism, state formation and state building processes in Somalia.			

NARRATIVE



SOMALIA UN MPTF

Output 1: The political dialogue and consultations around federalism and state formation have been supported

Emerging federal member state administrations were already formed and charters drafted in Galmudug, Jubbaland and South West before the start of the medium-term StEFS project in April 2016. Differences between the various groups in these regions, however, persist and threaten the stability and legitimacy of the administrations. To support federalism and state building, continued political dialogue, consultations and reconciliation efforts are needed. The project's support for such efforts in the third quarter of 2016 has contributed to the following:

- Twenty-six (26) women from the ISWA/SWS Ministry of Women's Affairs and CSOs were trained on conflict resolution skills and their legal role and rights in peace processes, thereby supporting opportunities to achieve gender-responsive outcomes. Building lasting peace in communities requires inclusive approaches that address the root causes of conflict. While women have made important contributions to peacebuilding and recovery efforts in conflict zones, they have so far been underrepresented in formal peace processes where critical decisions are often made. Workshop participants came to understand the important role they have to play in creating peaceful, safe and stable societies, and committed to urging government and elders to promote women's meaningful participation in peace processes. The three-day workshop from 14 to 16 August in Baidoa was organized by the ISWA/SWS Ministry of Planning and International Cooperation (MoPIC), with financial support from the project.
- A reconciliation conference held at Galkayo District in Galmudug from 24 to 27 August has led to an understanding between the two concerned communities (the Samater Agane community and Mohamed Agane community) to reconcile and support future peace efforts. The reconciliation comes after armed conflicts based on disagreements over political issues and ownership of grazing land for livestock and water well resources resulted in killings, displacements and disruptions to peaceful co-habitation. The Galmudug Ministry of Constitution and Reconciliation started the dialogue process between the communities, with the financial support of the project, in an effort to achieve a stable and peaceful environment conducive for recovery and development. One-hundred people (68M:32W) participated in the reconciliation, including the GIA Minister of Constitution and Reconciliation, MPs, Galkayo District Commissioner, Galkayo Deputy Commissioner, and elders and women from conflicting communities.
- A reconciliation conference was held in Dollow district of Gedo region in Jubbaland State of Somalia from 31st August to 6th September 2016 for 250 prominent community members from Luuq, Dolow, Belet Hawa and Garbahaarey. All segments of the society were represented with women (30%), traditional/clan leaders, youth, business group, district administration, and media representatives. The conference led the state government and other representatives from women, youth and traditional/clan elders to agree on addressing the key conflict drivers in the region such as land disputes, revenue collection and cutting of trees for charcoal. The key agreed issues between the Jubbaland administration and traditional elders include loss of lives and property that took place during the civil war between clan militias to be forgiven and to move forward and to focus on state building process and the ongoing reconciliation efforts in the region. Involved parties also agreed that the families of innocent civilians that were killed during the civil conflicts should be compensated and to integrate all armed militias in the region into the Jubbaland security forces.
- The project supported a Strengthening Ceasefire Reconciliation Agreement workshop held in Mogadishu for Merka community from 24th to 27th September 2016 for Biyamal and Habargidir clans. This led the two warring clans to agree on the implementation of the peace and ceasefire agreements of the previous reconciliation conferences in Afgoye and Merka towns of Lower Shabelle region of Southwest State. The local community, AMISOM and Ministry of Reconciliation and Constitutional Affairs of Southwest collectively took the responsibility for monitoring the implementation of the peace agreements and also to track or monitor whosoever violates the agreements between the two clans. As a follow-up, the chief elders of the two clans and other



SOMALIA UN MPTF

concerned parties who indirectly were involved into the implementation of the peace agreements participated in the workshop to strengthen the ceasefire agreement. Forty people (33M: 7W) attended the workshop.

- In Hiraan and Middle Shabelle, the state formation process began early this year but stalled due to inter-clan tensions. The FGS officially re-launched the Jowhar conference in April 2016, however, disagreements over clan representation, the location of the conference and whether reconciliation processes should come before state formation continue to impede progress. The Intergovernmental Authority on Development (IGAD) has been working to move the process forward by attempting to facilitate an agreement between the FGS leadership and the various clans but have so far been unsuccessful. Elders from Hiraan have voiced their concerns with the process not being inclusive and may lead to an illegitimate outcome. High Level Consultative Committee was established by MOIFA FGS to oversee the process of Hiran State formation in the month of September. The committee constituted of FGS/MOIFA, IGAD, EU, AMISOM and UN. FGS/MOIFA plan to facilitate the Hiran Middle Shabelle state formation in the month October and plan to conclude it before the FGS election 2016.

Output 2: The capacity of the FGS, particularly those institutions engaged in the federalism process, is strengthened

Boundaries and Federation Commission

The Boundaries and Federation Commission (BFC), established by parliamentary decree in December 2014, has been mandated to take into account demographic and cartographic information as well as political, economic and social criteria and recommend to the Federal Parliament the demarcation of boundaries of federal member states. While the Provisional Constitution provides overall direction towards the fulfillment of these objectives, the BFC intends to prioritize those tasks that are most critical to establishing regional/district boundaries and federalism for administrations grounded in democratic legitimacy and with an aim to prevent future conflicts. To achieve this, the BFC has set up three internal committees focused on research, federalism and boundaries.

Through preliminary support under the predecessor project to the current StEFS, BFC Commissioners were recruited, trained, provided with office space, equipment and operations support to meet basic requirements, and supported with technical, financial and logistical assistance to initiate consultative processes. This has resulted in the development of an action plan and draft strategic frameworks on the proposed vision for the BFC and boundary delimitation.

These key documents are the outcome of public and inter-governmental dialogue on the boundary delimitation process and the Commission's role. Such dialogue is critical to an inclusive, Somali-driven approach to come to collective agreement on boundary and federalism issues. In the third quarter, the project furthered its support to the BFC's efforts to lead an independent and inclusive consultative process and fulfill its mandate. This included:

- A workshop on 15 August in Mogadishu to collect the views and recommendations of religious leaders, intellectuals and other key stakeholders on the peaceful delimitation of regional/district boundaries and how to federate the country. Most of the 70 participants (57M:13W) recommended that the BFC continue with its outreach programming in all Somali regions and widely consult with civil society and citizens, including women and youth. The project funded this workshop.

When monitored by Third party monitors, some of the participants said:

Ex. MP Caisho Abdullahi: "I have just understood the various types of federalism and how some countries have adopted the system and I therefore hope we will understand better the model we choose as well as educate the community on the same."



SOMALIA UN MPTF

Ms. Kin Abdalla Naji: “We need to settle the boundaries issues once and for all and this is not a joke. We also need to reconciliation process that is inclusive of all the people through a federal system and boundary demarcation”

- A consultative workshop to engage key government and civil society stakeholders on the BFC’s strategic plan for the period 2016 to 2020. The workshop, which was held in Mogadishu on 1 September allowed the 85 participants (69M:16W) to provide comments and suggestions regarding the strategic plan budgets and eight key result areas.
- An International Consultant on Technical Demarcation was hired for the Boundaries and Federalism Commission (BFC) of the Federal Government of Somalia to assist the commissioners to develop their five-year Strategic Plan (2016 – 2020). The commissioners were also trained on public engagement, communication strategies and data collection and acquisition on boundary demarcation exercise from 29th to 31st August and from 2nd to 3rd September 2016. This training was attended by 20 participants (17M; 3W).
- The project initiated the procurement of office equipment (desktop computers, cameras), furniture and supplies to enhance the physical work environment of the BFC. The equipment should be delivered in Q4.

Other notable progress made in Q3-2016 includes:

- The recruitment of a Planning Advisor to replace the technical officer who was killed in the 25 June 2016 attack on the Nasa Hablod Hotel in Mogadishu. The advisor commenced work on 3 August in this quarter.
- The project organized a two-week GIS and GPS training for the BFC technical team in Regional Centre for Mapping of Resources for Development (RCMRD) in Nairobi Kenya. The training is finalized and expected to begin in Q4.

FGS/MoIFA

Through capacity development support from UNDP/UNSOM under the precursor to the current medium-term project, the federalism directorate of FGS/MoIFA has in place the basic structure and capacity to facilitate the federalism process. The ministry has transitioned from being an observer in the Jubbaland state formation process, to supporting the process in Galmudug and now to leading the Hiraan and Middle Shabelle process.

MoIFA previously had no functional federalism unit. Through the interim project, MoIFA was provided with basic operational facilities, office equipment and logistical support. Support was also provided to facilitate the implementation of outreach activities, information-sharing and coordination meetings, as well as the implementation of workshops for stakeholders on federalism, governance and the state formation/building process. This support was furthered through the StEFS project in Q3 2016.

Capacity development of MoIFA was equally supported through the recruitment of human resources and basic training in areas such as communication, management and boundary delimitation to support the federalism process.

Office of the Prime Minister

Besides the BFC and MoIFA, the Office of the Prime Minister (OPM) also has a role to play in supporting, coordinating and steering the federalism process in Somalia. The OPM is to provide strategic leadership and direction in the area of inter-ministerial and inter-state dialogue on the federalism process. In the third quarter, this has included:

- Recruitment of Technical Advisors for the OPM. The recruitment process was supported by the project, which so far includes the recruitment of a Liaison and Coordination Advisor and a Communication and Reporting Advisor (both men) and 1 intern (woman). The advisors commenced work on 15 August; they are now developing and finalizing a concept note and a work plan. The office has finalized the recruitment process of the



SOMALIA UN MPTF

one female intern and she is expected to report to the office in October 2016. The intern will be supporting the OPM with logistics, finance and communication related duties.

- Letter of Agreement and work plan for implementation of federalism dialogue was developed and approved for the Office of the Prime Minister. The consultative dialogue on Federalism is expected to be organized in the Q4, after the FGS elections.

Output 3: Foundational support to interim state administrations to ensure an appropriate physical working environment is provided

To support emerging states to become functional, actively engage in the federalism process and ultimately deliver services to the population, the project has been providing capacity development assistance to the interim FMS administrations in a number of areas. This includes support for improving physical working environments.

- **South West:** The multi-purpose facility to accommodate the ISWA Ministry of Planning and International Cooperation (MoPIC) and other ministries that do not currently have office space was completed in July 2016. The official handover ceremony took place on 27 September in Baidoa and was attended by 25 delegates [20M; 5W], donor community, UNDP, UNSOM, CSOs, State MPs and other ministries from South West. The facility will allow the emerging state government to improve work processes as staff shift from working out of their homes to operating in a common location on a regular basis. UNDP also handed over IT equipment to the administration, including laptops, desktop computers, printers and accessories.

See: <https://www.facebook.com/undpsom/posts/1003803196433246?match=c3RhdGU%3D>

- **Jubbaland:** In Kismayo, the process to construct/rehabilitate office space for the Jubbaland Civil Service Commission and State House Cabinet conference hall in Kismayo has been finalized and the first and second recommended contractors, following a competitive procurement process, would provide the refurbishment services. Contracts are expected to be signed and commence the construction and rehabilitation works in October 2016. The project also handed-over furniture and equipment to JSS on 11 August 2016, initiated office supplies and operational costs and additional equipment support; continued to support the rental of vehicles for JSS MoPIC and is procuring a vehicle for use by the administration.
- **Galmudug:** Seven office blocks, a kitchen and a conference hall will be constructed in the Galmudug State House, with the project's support. The contract was awarded in September 2016 following a competitive process and construction is expected to begin in October 2016. Three computer printers and three LCD projectors were provided to GIA. The project also initiated the process to procure office equipment/furniture for GIA in the third quarter.

Output 4: The capacity of interim state administrations with a dedicated focus on 'core public sector capacities' is enhanced

In addition to enhancing physical work environments in the emerging state administrations, the project has also been providing support to strengthen core public sector capacities through institutional development, human resources support and training. Between July and September 2016, this included:

- A workshop on communication and public outreach for 30 ISWA civil servants (24M:6W) from 18 to 20 July in Baidoa, to promote the development of effective strategies for internal and external outreach. It aimed to deepen participants' understanding of strategic communication and build practical skills for planning and implementing public outreach efforts. The workshop was organized by ISWA MoPIC, with financial support of the project.



SOMALIA UN MPTF

- Training on public procurement procedures for 45 (39M: 6W) civil servants of JSS procurement departments in Kismayo from 24 to 26 July. Building the Jubbaland government's workforce knowledge of best practices in procurement is expected to help promote good governance and reduce corruption within JSS institutions. The three-day training organized by the Ministry of Planning and International Relations was more in-line with JSS's draft on public sector procurement policy, in which JSS strives to implement its public policies. In order to promote transparency, efficiency and accountability to foster the credibility of the JSS public procurement policy, the project in collaboration with the Ministry of Planning and International Relations identified the need to promote the knowledge of JSS civil servants in transparency, efficiency and accountability of public sector procurement policy.
- Jubbaland citizen participation workshop on state planning was held between 6th and 8th August 2016 in Kismayo for 108 (69M: 39W) government officials, women and youth organizations, diaspora and community elders. The three-day workshop or forum was organized by the Ministry of Planning and International Relations with the support of the StEFS project to discuss government planning and development initiatives at state level with the JSS citizens.
- Institutional Capacity Assessment Baseline Surveys for Jubbaland and Galmudug were completed and the reports are being finalized. The survey findings will shed more light on key capacities that already exist and what additional capacities may be needed to reach the state level institutional objectives. The baseline survey is an analysis which generates the understanding of the current organizational human resources and/or structure, institutional strategies, institutional core competencies and the physical structures of the JSS institutions. The outcome of this baseline survey can serve as key inputs for formulating institutional capacity development initiatives and support. It also addresses those capacities that could be strengthened and it optimizes existing capacities that are already strong to help them create a solid foundation for long-term planning, implementation and sustainable results.
- Strategic planning process in ISWA that kicked off in Q2 2016 continued in the third quarter and is expected to be completed by Q4 2016. The process focuses on five key sectors (economic development, resilience, governance, infrastructure and basic social services) and is being supported by an international expert recruited by UNDP/UNSOM. From 27 to 29 August, ISWA MoPIC held three consultative meetings in Baidoa in support of ongoing work to develop a comprehensive, three-year strategic plan for the emerging state that is aligned with the National Development Plan (NDP). The plan is expected to be finalized in Q4 of 2016.
- In Q3 of 2016, The Project initiated process of Organization Structure review and Functional Description development for Emerging States. An International Expert on Organization Development was recruited to support the process. Several consultative workshops and meetings were held in Baidoa from 09 to 23 September 2016 to review the Organizational Structure for ISWA Ministries. This was to address the organizational arrangements for service delivery through mapping and clarifying the mandates of public institutions, designing and putting structures in place for implementing its mandate, different functions of the institutions as well as underlying staffing positions; this shall be identified and made compatible with existing and future institutions. The plan is expected to be finalized and published in Q4. Similarly, the organizational structure review and functional description intervention will be rolled out for Jubaland State of Somalia and Gulmudug Interim Administration.

(See Output 5 for further details on CSO/citizen engagement with the strategic planning process.)

- The finalization of guidelines for the Jubbaland Civil Service Commission in consultation with the Somalia Stability Fund, as well as the vision document and strategic plan. Working with the JSS President's Office, the



SOMALIA UN MPTF

consultant will also support the development of a cluster-based approach to define the relationship between Cabinet and line ministries to effectively fulfill administrative mandates.

- In collaboration with the UNDP's Strengthening Institutional Performance (SIP) project, an International Consultant was hired to support and guide the regional engagement strategy plan/framework development for Aid Coordination at national and state levels. The plan sets up a framework for existing and emerging Federal Member States to participate effectively in the Aid Management and Coordination, related to the New Deal and the development and implementation of the NDP. The consultant had meetings with 48 participants (47M: 1W) from various groups of the community representatives in Baidoa for the development of Strategic plan for ISWA in an inclusive approach. This included a diligent and active approach to engage in the development of the new NDP for ISWA and elaborating on their priorities for inclusion in the NDP.

Output 5: Civic participation and engagement with interim state administrations is strengthened

The legitimacy and sustainability of the recently established interim state administration rests on the strength of their linkages with their constituents, including CSOs and the citizens whose interests they serve and advocate for. In this regard, in the third quarter of 2016, the StEFS project continued to support emerging state governments to increase public awareness of federalism concepts and the role of state administrations. Outreach activities that help to facilitate dialogue and increase the accountability of state administrations towards their citizens were also supported.

ISWA

Between July and September 2016, ISWA worked to strengthen the process of state building in the region through the following:

- On 24 August, ISWA MoPIC hosted an aid coordination meeting to achieve better coordination and collaboration with civil society and other organizations. A total of 34 participants (31M:3W) from ISWA ministries, UN agencies and the NGO community (both international and national) attended the meeting. The meeting focused on the NGO Act, which has now been taken to Parliament to pass. It also included a presentation from the Minister of Labour on a newly drafted Labour Act, emphasizing that the ministry has a list of registered unemployed youth who have qualifications. The Act is now with the President's Office for review. If passed, the NGO community will have to comply. These regular meetings commenced earlier this year when the ISWA President issued a decree stating that MoPIC will be responsible for the coordination of aid agencies. The project supported federalism campaign through local radios in Baidoa of South West and in Kismayo of Jubbaland. The campaign included a series of PSA messages that were broadcasted through three radio stations in each location for 45 days, aimed to educate and inspire the public on Federalism and its benefits for Somalia. The messages were produced in Somali language and local dialect to ensure a national appeal.
- ISWA has also been engaging CSOs in the process of developing validating and finalizing a strategic plan for the emerging state. Consultative meetings, such as the one held from 27 to 29 August in Baidoa, have sought to engage both international and national CSOs. 69 participants (63M: 6W) participated in these consultative meeting who were among other organizations from Ministries, INGOs, NNGOs, and UN agencies, namely UNICEF, UNOCHA, UNDP, DRC and NRC. Collectively they have greatly contributed to the discussions on security, infrastructure, economic and governance.

Jubbaland

The engagement of Jubbaland citizens in federalism and state-building process was promoted in the third quarter of 2016 through the following:



SOMALIA UN MPTF

- From 15-17 August, 70 representatives (47M:23W) of a cross-section of CSOs and women's groups in Jubbaland participated in a workshop to enrich their understanding of federalism and good governance. The three-day workshop in Kismayo was organized by the JSS Office of the President and the Ministry of Women, Family Affairs and Human Rights, with the support of the project.

Galmudug

Awareness-raising workshops are important to providing the population with a clear perception of federalism and state-building processes in order to build support for a federal system.

- On August 9, 100 people (49M:51W), including traditional elders, women, diaspora, CSO representatives, MPs and state and district government officials/staff, engaged in discussions on the 2016 elections and how the society could be made to understand what federalism is. The outreach workshop was organized by the Abduwaq District Authority and GIA, with the financial support of the project.
- A three-day conference for Galmudug youth was also held in August 2016 (20-22) to not only promote a better understanding of federalism, but also to help unite Somali youth and encourage the role of youth in the 2016 election process. Youth participation in the 2016 election supports the peace and stability of the region and Somalia more broadly, contributing to the prevention of violent extremism and reduced out-migration of youth. The conference was led by the Galmudug Youth Organization, with the support of GIA and the project. Fifty people (35M:15W), including youth from different districts of Galmudug, took part in the conference.

Further efforts to engage Galmudug citizens and civil society in state-building include:

- Following preliminary/introductory meeting held in Mogadishu in Q2, the project continued supporting GIA in Q3 through an International Consultant to support, guide the development of a Strategic Plan (2017–2019) for GIA and to align it with the National Development Plan (NDP) 2017-19 of the Federal Government of Somalia. The Ministry of Planning and International Cooperation (MoPIC) established a Steering Committee that supports the coordination of focused input into the drafting of the Strategic Plan, as well as to provide oversight of the Plan's timely completion and launch. The key objective of establishing the Steering Committee is to ensure the Strategic plan is well coordinated, sectoral orientated and to ensure that it is in line with the five pillars envisaged for the national NDP: (1. Governance, 2. Economic Development, 3. Infrastructure, 4. Social Services, and 5. Resilience).

Besides this, a consultative meeting was held by MoIFA from 28 to 30 July 2016 to provide Somali citizens the opportunity to participate in the drafting of a citizenship bill and shape the development of the country. MoIFA has drafted a citizenship (amendment) bill in accordance with Article 8 of the Provisional Constitution, which mandates that the Parliament pass a law that prescribes the ways of acquiring Somali citizenship, how citizenship can be lost and meaningful dual citizenship. From 28 to 30 July 2016, MoIFA led consultative meetings on the draft citizenship bill to explain its basic elements and gather public feedback on decisions that will impact their lives. The consultation was attended by more than 140 people (88M:53W), including religious leaders, civil society members and representatives from the federal government and federal member states who freely and jointly discussed and debated articles of the bill and took decisions together. A key outcome of the consultation is the production of a final draft of the citizenship bill that reflects recommendations from participants to be taken through the process of endorsement by the Federal Parliament. The credibility and legitimacy of the bill was supported through the consultative approach, as evidence by participant testimonials:

- **“This consultation is very important and I am happy to see all participants, women, youth, elders and politicians discuss national issues like citizenship on equal foot.”** — Galmudug representative



SOMALIA UN MPTF

- **“Once again the Ministry of Interior and Federal Affairs successfully managed to bring people from all regions to discuss a common issue of national interest. The perception of division in a federal system has been falsified by this act of unison.”** — Jubbaland representative

The broader impact of public outreach and engagement processes will be measured through a survey of public perceptions and citizen feedback on government performance. A third-party organization has been engaged, in collaboration with the Joint Rule of Law Programme, to conduct the survey and commenced data collection in mid-July 2016. While the primary focus is on Rule of Law institutions, the survey will also seek to measure shifting attitudes towards the state formation and federalism process in Somalia. The baseline report is expected to be delivered in Q4 2016. The results of the survey will help to build an evidence base around government performance, the project’s impact and, more importantly, issues on which state administrations can make informed decisions about matters that affect their citizens.

Other Key Achievements:

- Two public gatherings were organized in July and September 2016 while using mainstream Somalia media (TV & Radio) and general social media. These two events fostered the ongoing effort to inform the Somalia population on the state formation/building and federalization process. (<https://www.youtube.com/watch?v=gD-2jNwR9s0>).
- A live website [www.bfc.gov.so] for the Boundaries and Federalism Commission (BFC) is now in place as a key portal of information for partners and stakeholders about the commission’s mandate, ongoing activities and development of strategies and or policies.

Challenges (incl: Delays or Deviations) and Lessons Learnt:

Challenges, Delays & Deviations

- Progress on the Hiraan and Middle Shabelle state formation process continues to be delayed. The process was initially expected to be completed in early 2016, but was derailed by inter-clan tensions that have yet to be resolved despite efforts by FGS and key partners such as IGAD. This may negatively impact the project’s budget if more meetings or reconciliation activities are needed than planned for in order to support efforts to establish the regional administration. Further delays would also affect the achievement of project targets set for 2016 and beyond.
- The strategic plan for ISWA and Galmudug were expected to be finalized in the third quarter, but has been further delayed due to fact that most of the emerging states were very much concentrated on the 2016 elections at state level. The target date for its completion is now October 2016.
- Majority of the stakeholders are focused on the 2016 elections which could result into less attention for state formation efforts and the federalization process.

Lessons Learnt

The StEFS project started only on 1 April 2016, however, lessons drawn from the recently concluded PIP project remain relevant. In particular:

- The political realities in the field require a high degree of flexibility and work plans must be able to respond to shifting priorities and circumstances, especially where they concern reconciliation efforts. This means that project management needs to be enabled to flexibly respond to changes and new requirements as they occur. Strong coordination between the partners and the project and a certain level of delegation of decision-making



SOMALIA UN MPTF

authority from steering bodies to project implementing partners are therefore essential. In Q2 2016, for example, the Merka reconciliation meetings were organized with only a few days' lead time.

- The political nature of state formation efforts also requires effective coordination and communication between the project team, UNSOM and other partners. The established relations have proven to be effective in managing the challenges and to ensuring a collective and constructive engagement in the process. Such partnerships help to catalyze financial and technical resources and also ensure that the international community is supporting one direction for the state formation and capacity building process.
- A local presence of the project is important to minimizing delays, understanding local dynamics and enjoying collaborative relations with stakeholders on the ground.

Peacebuilding Impact:

Key factors in the success of newly-established states and how they contribute to Somalia's lasting peace and stability will be how they engage with the federal level, their relationship with their regional and district counterparts and buy-in from communities. Through support for state formation and federalism processes, reconciliation efforts, capacity building and efforts to strengthen linkages with citizens/civil society, StEFS enables the emerging states of south and central Somalia to fulfill core governance functions and establish the essential foundations for longer-term peace and development. Specific peacebuilding efforts supported by the project in the third quarter of 2016 include reconciliation conferences for clans/sub-clans in Galkayo, Gedo and Balanbale (See Output 1 for details).

Catalytic effects: N/A

Gender

Despite some moderate progress in Somali government institutions, such as within the federal parliament and some notable ministerial appointments at both the federal and emerging state levels, women remain under-represented across government and within the public sphere. Through all activities, StEFS seeks to promote the role of women in the state formation and federalism process, including as peacemakers, community mobilizers and government leaders. In the third quarter of 2016, this included the following:

- From 14 to 16 August, 26 women from the ISWA Ministry of Women's Affairs and CSOs were trained on conflict resolution skills in order to facilitate the meaningful engagement of women in formal peace processes, which helps to ensure gender-responsive outcomes.
- On 11 July, the DSRSG/RC/HC, accompanied by UNSOM Police Commissioner, the heads of several UN agencies in Somalia, the UNDP, OCHA, IOM, the World Bank and the Swedish ambassador in Mogadishu, visited Kismayo. The visit included a meeting with the Jubbaland President on various issues, including women's representation in the elections to the Lower House. The President committed to pressuring elders and community members to ensure that the 30 percent target for women's representation is at least met.
- On 27th September 2016, Deputy Country Director (Programmes), CD Programme Manager, StEFS project team and the Swedish Ambassador visited Baidoa. The visit included meetings with the Acting President, Speaker of Parliament and SIET for nominations of the Lower house representatives and women's 30% quota for the 2016 election. The UN officials and the Swedish Ambassador attended the opening ceremony of multipurpose building supported by the StEFS project for Ministry of Planning and International Cooperation (MoPIC). According to the Institutional Capacity Assessment Baseline survey that was conducted by UNDP Somalia in collaboration with MOPIC in October last year, 43 percent of the institutions work was either done from home and/or rented locations while 40 percent of the institutions were reported as having no formal office set up. This multipurpose



SOMALIA UN MPTF

building for ISWA responds to the findings in the Institutional Capacity Assessment Baseline survey, that need for office setup is as high as 83 percent in Baidoa.

In September 2016, the project and UNSOM office for women affairs initiated support to Ministry of Women and Human Rights of Galmudug for mobilizing women’s 30% quota representations in the 2016 election. The support is expected to bring together 40 women representatives from Galmudug areas and promote women’s candidature for the lower and upper houses 2016 elections.

Proportion of gender specific outputs in Joint Programme ¹	Total no. of Outputs	Total no. of gender specific Outputs
	5	0²
Proportion of Joint Programme staff with responsibility for gender issues ³	Total no. of Staff	Total no. of staff with responsibility for gender issues
	8	2

Communications & Visibility:

Visibility tools utilized by the project in the third quarter of 2016 include:

- *Newsletter:* The project newsletter for the second quarter of 2016 has been posted to UNDP Somalia’s website. The Q3 2016 newsletter will be available by the end of October.
- *Banners:* Several workshops supported by the project in the current reporting period featured banners that include donor logos (see Annex 7 for pictorial evidence).

Looking ahead

Key priorities of StEFS in 2016, as agreed with both national partners and donors, include:

- Support for the Hiraan and Middle Shabelle state formation process
- Foundational support to the interim FMS administrations (Ministries of Planning, Finance, Labour and Offices of the President) to develop core public sector capacities and establish the necessary preconditions for governments to begin delivering services to their citizens
- Support to the FGS, BFC and emerging states to initiate dialogue on key aspects of federalism (e.g., roles and responsibilities, institutional arrangements, etc.)
- Support to interim FMS administrations to engage on ongoing reconciliation efforts within their states and to undertake public outreach and civic education geared towards building a culture of public accountability

Major planned activities for the upcoming quarter are listed below:

¹ Gender Specific Outputs are those that are specifically designed to directly and explicitly contribute to the promotion of Gender Equality and Women’s Empowerment.

² There is no specific output on gender, while four outputs contribute in-directly to women and men participation and engagement.

³ Staff members are those contracted to undertaken work for the Joint Programme including full time staff, consultants, advisors, interns, etc. Staff members with responsibility for gender issues are those who have gender related activities included in their Terms of Reference.



SOMALIA UN MPTF

Expected Output	Major Planned Activities for Q4-2016
Output 1: The political dialogue and consultations around federalism and state formation have been supported	<ul style="list-style-type: none"> • Continue support for the Hiraan and Middle Shabelle state formation process – including consultative workshops, inclusive political dialogue and technical committees • Provide technical assistance and logistics support for political reconciliation efforts in at least one emerging federal member state
Output 2: The capacity of the FGS, particularly those institutions engaged in the federalism process, is strengthened	<ul style="list-style-type: none"> • Provide support to the BFC to finalize a framework for boundary delimitation • Support ongoing federalism campaign to strengthen civic participation and engagement • Initiate the establishment of an Inter-Regional Consultative Forum on federalism • Initiate dialogue to establish the constitutional Inter-State Commission • Rehabilitations of BFC office prefabs (damage) • Construction of MOIFA wall perimeter (security)
Output 3: Foundational support to interim state administrations to ensure an appropriate physical working environment is provided	<ul style="list-style-type: none"> • Continue process to construct/rehabilitate office space for Jubbaland and Galmudug
Output 4: The capacity of interim state administrations with a dedicated focus on ‘core public sector capacities’ is enhanced	<ul style="list-style-type: none"> • Complete the recruitment process for technical officers/advisors and interns • Support the process to finalize and publish a strategic plan for ISWA that is aligned with the National Development Plan • Continue to support the process to draft and finalize strategic plans for Jubbaland and Galmudug • Draft capacity assessments of GIA and JSS to determine requirements to support a minimum structure •
Output 5: Civic participation and engagement with interim state administrations is strengthened	<ul style="list-style-type: none"> • Finalize first round of the baseline public perceptions survey • Initiate consultations with emerging states to establish state-level public accountability forums



SOMALIA UN MPTF

ANNEX 1. RISK MANAGEMENT

Type of Risk	Description of Risk	Mitigating Measures
Political risk – state level	<p>StEFS Project Document: Emerging federal state leadership, including recent ministerial appointments, is still extremely new. Hence, it is not surprising that there have been no significant overhauls of leadership. Still, this cannot be discounted, based on federal level precedence and potentially volatile power dynamics in the regions. <i>[Likelihood: Medium; Impact: High]</i></p> <p>Update: Continued tensions between inter-clan groups in Hiraan and Middle Shabelle continue to delay progress on the formation of the state. Ongoing disputes in other established emerging states could challenge their legitimacy.</p>	<p>StEFS Project Document: While StEFS will work closely with executive level leadership of recently formed ministries, it will also intentionally target senior and mid-level ministry personnel at the state administration level, so that should there be a state Cabinet reshuffle, StEFS will have engaged in capacity support with staff who may likely remain in their posts. As an example, at the federal level, StEFS has been engaged primarily with the Director General for Federalism within the MoIFA, who has retained his post along with his team, despite the replacement of the Minister, Deputy and State Ministers in MoIFA in 2015.</p> <p>Additional Measures: Working in conjunction with other international actors, inclusive processes will be used to facilitate dialogue between disputing groups in the emerging states. Project teams will monitor political developments and adjust the implementation schedule accordingly.</p>
Political risk – federal level	<p>StEFS Project Document: It is possible that the work of the BFC will take time due to political competition. Further, based on recent history, any further Cabinet reshuffle will likely paralyze progress towards Vision 2016 deliverables. <i>[Likelihood: Medium; Impact: High]</i></p>	<p>StEFS Project Document: As noted above, StEFS will ensure that it works with Director General (DG) and Department Head level staff from MoIFA, staff who typically retain their posts during and after major changes in federal government leadership. StEFS will work with the DG of Federalism and his team to work with the BFC, including identifying what further support may be required for the BFC to function effectively.</p>
Physical insecurity	<p>StEFS Project Document: Serious deterioration of the security situation, either within Mogadishu where the senior Project Management Team will be based, or in emerging federal state capitals, where StEFS will employ field staff. <i>[Likelihood: Medium; Impact: High]</i></p>	<p>StEFS Project Document: The UN has proven that it can and will continue to work from Mogadishu despite ongoing security challenges. The StEFS Project Manager and some of the Project Management Team will be Mogadishu based, so continuity of programming is likely even in the case of regional insecurity or isolated incidents in Mogadishu. In state capitals, StEFS does not intend to employ full time international staff, but rather will rely on senior local staff. These staff may be temporarily relocated if necessary either to Mogadishu or to another state capital but will continue to monitor project activities.</p>



SOMALIA UN MPTF

Type of Risk	Description of Risk	Mitigating Measures
	<p>Update: Security threats continue to be a key risk to project implementation, especially in the lead up to the elections. On 30 August, a truck bomb targeting the SYL Hotel in Mogadishu caused peripheral damage to the BFC's offices, which were provided and equipped through the first phase of the project. Though BFC staff/members were unharmed, the damage to the property has had a negative impact on operations.</p> <p>Also the increased VBIED attacks and AS assassination attempts during the reporting period which is a serious concern.</p>	<p>Additional Measures: The project will make use of third party monitors for activity monitoring to support oversight in locations that might be inaccessible to the project team. In addition, the project will exercise flexibility in the sequencing of its implementation, especially at the regional level. Security risks can be reduced by deferring, or restricting the level of operations in insecure areas until these areas have been stabilized.</p>
Project support	<p>StEFS Project Document: Lack of agreement on coordination and cooperation arrangements. <i>[Likelihood: Low; Impact: High]</i></p> <p>Update: Agreement on project priorities has been reached and reflected in the signed Project Document and LOAs with MoIFA, BFC, OPM, JSS, GIA and ISWA. However, inefficiencies at the regional level and the centralized nature of the government could impact on the roll out of project activities. Also, coordination of the federalism related deliveries and tasks within the SFG proved to be difficult.</p>	<p>StEFS Project Document: Agreement with the MoIFA has also been reached on the precursor to StEFS, the recently concluded PIP project. As part of the StEFS design process, the project team has consulted emerging state administrations in Baidoa, Kismayo and Adaado on the proposed project components, all of which have expressed support for the concept.</p> <p>Additional Measures: The project will help ensure the implementation of planned initiatives by encouraging political commitment centrally and locally by supporting government coordination mechanisms and widely communicating those initiatives. The project will also work with development partners to identify entry points to anticipate and overcome any obstacles. Moreover, the project will regularly engage donors and government through consultation and coordination efforts facilitated through project board meetings and the PSG 1 working group. It is decided that the OPM will coordinate the federalism process.</p>
Project start-up and personnel	<p>StEFS Project Document: Delays in recruitment of project management and international and national full-time technical staff. Absence of qualified consultants to implement the assignment. <i>[Likelihood: Medium; Impact: High]</i></p>	<p>StEFS Project Document: Recruitment will be planned well in advance to ensure timely deployment of required staff – both national and international. The project uses CTG, a recruitment firm with a roster of consultants/advisors that can be recruited rather quickly.</p>



SOMALIA UN MPTF

Type of Risk	Description of Risk	Mitigating Measures
	<p>Update: There is a lack of qualified human resources at the regional level that affects project work with the government administration and also with the field offices. Under StEFS and the previous phase of the project, the project supports the emerging state administrations with local technical advisors/officers and graduate interns. Some of the embedded human resources themselves require training before they can fully take up their role in developing the capacity of their respective institutions.</p>	<p>Additional Measures: The project will adopt competitive bidding to select competent contractors. Field staff, together with officials from the emerging state administrations and departments of Federal Directorate of MoIFA staff, will undertake regular monitoring and evaluation of services provided to take corrective action when necessary.</p>
Financial risk	<p>StEFS Project Document: Misappropriation or misuse of project funds. Lack of financial oversight at the project activity level. <i>[Likelihood: Low; Impact: High]</i></p>	<p>StEFS Project Document: Because the project will be managed under UNDP’s Direct Implementation Modality, all procurements will be managed by UNDP. There will be no direct fund transfers to state level governments under this project. All sub-contracts with consultants, service providers, or CSOs/NGOs will be administered according to UNDP procurement guidelines. StEFS will employ full time project staff on the ground in each activity location who will monitor usage of assets or services provided to project beneficiaries. These staff will be supported by the project’s M&E officer, project assistant and UNDP’s finance department.</p>
Potential exclusion of minority groups	<p>Newly Identified Risk: There are groups that continue to be marginalized in all sections of Somalia society, such as groups based on ethnicity and age. Marginalization based on ethnicity can lead to feelings of exclusion that can fuel inter-clan tensions and violence and, in turn, derail the process of state formation and building. For example, clan representation at reconciliation meetings and within the future interim administration is a key source of the delay in the Hiraan and Middle Shabelle state formation process.</p> <p>Though Somalia’s youth population is significant in numbers, it is marginalized in terms of opportunity, with staggeringly high youth unemployment. Young people in Somalia experience three forms of exclusion — sociocultural, economic and political — resulting in them becoming both victims and sources of conflict.</p>	<p>Additional Measures: N/A</p> <p>UNDP recognizes the risk and will try to ensure that all program activities address this issue and that marginalized groups are encouraged to participate. Where feasible, arrangements in the sense of quota — for instance in representative bodies — will be made. Youth will be directly engaged in the project as interns. The project has also provided support for forums that bring together young people to promote youth leadership and provide training on aspects of governance and federalism. The project will also work with influential federal and regional stakeholders, along with international partners such as IGAD, to ensure inclusive representation from minority groups in reconciliation activities and state formation processes. Indicators of inclusiveness have been incorporated in the project’s results framework and monitoring plan.</p>



SOMALIA UN MPTF

Type of Risk	Description of Risk	Mitigating Measures
Potential adverse impacts on gender equality	Newly Identified Risk: While there has been some progress in Somalia government institutions, such as within the federal parliament and some notable ministerial appointments, women remain under-represented across government. Prevailing traditional practices and security concerns could deter women from seeking selection for leadership positions or even from participating in consultations to express their interests.	StEFS will continue to promote the role of women as peacemakers and leaders. For example, individual women of influence and women’s groups will be given prominent voices during reconciliation activities. In addition, women in government will benefit from targeted mentoring from the UNDP’s gender unit, which will be in addition to their participation in core of government functions training made possible through the project. A gender action plan has been developed to promote women’s participation, including in decision-making processes, and targets for women’s representation have been incorporated in the project’s results framework.
	Project leads to adverse impacts on enjoyment of the human rights (civil, political, economic, social and cultural) of the affected population and particularly of marginalized groups	The project works with influential stakeholders and international partners such as IGAD to ensure inclusive representation from minority groups in reconciliation and state formation/building processes, particularly in Hiraan and Middle Shabelle. Ongoing support will also be provided for reconciliation activities and inclusive political dialogue in Jubbaland, ISWA and Galmudug, where constant clan-based tensions have resulted in violence. Workshops on peacebuilding/conflict management will also be supported to build trust and encourage political accommodation between clans and sub-clans.
	Duty-bearers do not have the capacity to meet their obligations in the project	<p>Central and state governments have the responsibility for creating the broad normative and institutional contexts for the enjoyment of rights as recognized in Somalia’s Federal Constitution and the Somali Compact. However, government staff/officials may lack the professional capacities, knowledge of their mandate/duties/responsibilities and/or access to facilities, tools and other resources (incl. financial) to fulfill their obligations to citizens when it comes to the formation of states with functional structures to support equitable, affordable and sustainable service delivery.</p> <p>The project supports the capacity development of interim state administrations and FGS institutions that are leading the federalism and state formation/building process. This includes support for training, embedded human resources, technical assistance and the improvement of physical working environments. This will enable emerging states to</p>



SOMALIA UN MPTF

Type of Risk	Description of Risk	Mitigating Measures
		<p>develop core public sector capacities, and the FGS to develop federalism policies using inclusive, participatory approaches.</p> <p>It should be noted that government officials and civil servants can be considered both duty-bearers (as project partners) and rights-holders (as project beneficiaries) in this project. If their own rights go unfulfilled, they may not perform their full duties. For example, the project does not support salaries for civil servants, which may serve as an impediment to performing their professional duties in an efficient and competent manner.</p>
	<p>Rights-holders do not have the capacity to claim their rights</p> <p>Project would have adverse impacts on gender equality and/or the situation of women and girls</p>	<p>The project will support:</p> <ul style="list-style-type: none"> • Awareness-raising through media campaigns and workshops for citizens/CSOs to improve their understanding of the federalism and state formation/building process • Conferences and events to promote the engagement of youth • The establishment of forums to provide a platform for CSOs/citizens to participate in state planning processes • Elders and other community leaders to develop knowledge and skills on conflict management and community problem solving <p>The coordination and delivery of forums where representatives from the emerging states, FGS, and civil society can come together to discuss and ultimately agree on principles that will eventually result in legislation to govern how federalism will be executed in Somalia.</p> <p>A gender action plan has been developed to promote the participation of women and women’s groups in all project activities. Targets for women’s representation have been incorporated into the project’s results framework and LOAs with partners (and sex-disaggregated data will be collected). The project will collaborate with UNDP’s gender unit, CSOs and other key partners to support training/mentoring of women in government. Technical assistance and other support will also be provided to increase the capacity of women’s groups (and other CSOs) in the areas of governance and government/community engagement.</p>



SOMALIA UN MPTF

ANNEX 2. MONITORING AND OVERSIGHT ACTIVITIES IN Q3 2016

Monitoring Activity	Date	Description & Comments	Key Findings / Recommendations
Third-party monitoring (Mogadishu/BFC)	18-19 July	TPM of BFC LoA	<ul style="list-style-type: none"> • UNDP to support hiring of a Technical Advisor to replace the late Mr. Ibrahim Elmi to ensure activities are implemented within the prescribed time. <i>Note:</i> A newly-recruited Technical Advisor commenced work with the BFC on 3 August. • UNDP to fast track on the procurement process of the GIS laboratory, equipment and printing machines to facilitate BFC work. • The pace of implementing some of the project activities is slow given the timeline for the project.
Third-party monitoring (Mogadishu/MoIFA)	17 July	TPM of MoIFA LoA	<ul style="list-style-type: none"> • Most activities had not been implemented by the time the partner was being assessed. MoIFA should speed up implementation to ensure project activities are carried out as scheduled in the quarterly plans.
Third-party monitoring (Mogadishu/MoIFA)	28-30 July	Citizen bill workshop – TPM	<ul style="list-style-type: none"> • Appraisal the outcome of this workshop and share with the cabinet and the federal parliament. • Increase awareness, workshops, roundtables and education on relationship between the draft citizenship law and the federal system for attending community in different states in Somalia. • To finalize the national draft constitution before elections and vote by federal parliament members to assert the final version of the citizenship law.
Third-party monitoring (Kismayo/JSS)	6-8 August	Jubbaland citizen participation of state planning forum	<ul style="list-style-type: none"> • To have more consultative workshops/forums to enable accountability and state planning participation for all community sectors. • Engage stakeholders on both federal and state level in the development of plans for Jubbaland state. • Security, production and infrastructure plans should be the first priority for Jubbaland State
Project monitoring	14-18 August	Project monitoring and planning visit to Kismayo/Jubbaland; meetings with the Ministry of Interior and Reconciliation, Independent Civil Service Commission (CSC)	<ul style="list-style-type: none"> • Conflict analysis meetings/workshops be supported through the project so that the ministry better understand what actual conflicts exist in the territory before engaging in reconciliation efforts. • Key priority needs of the CSC include: operational support (office stationary, internet, electricity bill); capacity building support for the Commission; renovation of the Commission's office; and a study trip to Kenya to learn from Kenya's CSC.
Third-party monitoring (Mogadishu/BFC)	15 August	Consultative workshop on boundaries/federalism with religious elders/intellectuals	<ul style="list-style-type: none"> • The boundaries of regional states that the country will have should be implemented with Mutual Understanding and recognition of nationalism while avoiding developments that could cause segmentation or could be a threat for the co-existence of the people and governmental vision.



SOMALIA UN MPTF

Monitoring Activity	Date	Description & Comments	Key Findings / Recommendations
			<ul style="list-style-type: none"> • The boundaries of regional states should be mirroring the nationalist sentiments and the future ambitions of the Somali citizens. • When determining the boundaries of regional states and already existing districts in the country, modern techniques should be employed. • The boundaries of regional states should not bring about undesirable outcome that could challenge the ways of living or limit free movement of the people of Somalia. • To actively engage regions where boundary disputes exist and to search for solutions that does not damaging to the national unity.
Third-party monitoring (Adaado/GIA)	20-25 August	Galmudug youth conference	<ul style="list-style-type: none"> • To increasing the number of workshops which creates more positive awareness on federalism and state building for the youth and women in Galmudug State for their inclusive participations. • The participants also recommended the use of social media such as Facebook and Twitter in order to enhance the connection and the networking of Somali youth so that they are in a position to discuss about the future of their country as far as political affairs is concerned.



SOMALIA UN MPTF

ANNEX 3. TRAINING DATA FOR Q3 2016

#	Target Group		Dates	# of participants			Title of the training	Location of training	Training provider
	Ministry. District or UN staff	Others		M	F	Total			
	1.	ISWA civil servants		18-20 Jul 2016	24	6	30	Communication & public outreach workshop	Baidoa
2.	JSS civil servants working in procurement departments		24-26 Jul 2016	39	6	45	Procurement training of JSS civil servants	Kismayo	JSS Ministry of Planning
3.	JSS Key Ministries' staff		1-3 Sept 2016	42	8	50	Public financial management training for JSS staff	Kismayo	JSS Ministry of Planning
4.	Women of ISWA Ministry of Women's Affairs	CSO representatives	14-16 August 2016	0	26	26	Workshop on the role of women in conflict resolution	Baidoa	ISWA MoPIC & Ministry of Women's Affairs
5.	BFC members		31 Aug – 3 Sep 2016	66	13	79	BFC strategic planning/public engagement and communication strategy workshop	Mogadishu	BFC/UNDP
6.		Ramadan Ceasefire Committee members	8-11 Sep 2016	35	8	43	Training workshop for Merca ceasefire monitors & supports	Merca	ISWA Ministry of Reconciliation & Constitutional Affairs
Totals:				206	67	273			



SOMALIA UN MPTF

ANNEX 4. OTHER WORKSHOP & MEETING DATA FOR Q3 2016

#	Participants		Dates	# of participants		Title of workshop/meeting	Location of workshop/meeting	Workshop/meeting organizer
	Ministry, District or UN staff	Others		M	F			
1.	ISWA Cabinet (Ministers, deputies, Aid Coordination Unit/ACU and other governmental officials)	CSO/NGO representatives	24-25 July 2016	27	2	ISWA regional engagement strategy plan / framework development for aid coordination	Baidoa	ISWA MoPIC
2.	FGS representatives, FMS representatives	Civil society members, religious leaders	28-30 July 2016	88	53	Citizen bill workshop	Mogadishu	MoIFA
3.	FGS representatives, BFC members, Banadir regional administration	CSOs (incl. representatives from youth and women's groups)	31 July 2016	34	14	Federalism outreach/debate – understanding federalism and state building process	Mogadishu	MoIFA
			21 September 2016	24	7			
4.	GIA Cabinet	CSOs	2 August 2016	18	3	Galmudug regional engagement strategy development framework consultation	Adaado	GIA
5.	JSS MoPIC, JSS Office of the President	Kismayo community leaders, community members and government officials/staff	6-8 August 2016	60	40	Jubbaland citizen participation of state planning forum	Kismayo	JSS MoPIC/Office of the President
6.	GIA Ministry of Education, Galmudug MPs, Abduwaq District Commissioners	Traditional elders, women, diaspora, CSOs	9 August 2016	49	51	Public outreach on federalism for selected Galmudug districts	Abduwak	GIA
7.	JSS staff	CSOs and other citizens	22-25 August, 2016	95	25	Consultations on Regional Engagement regarding Aid Coordination	Kismayo	JSS



SOMALIA UN MPTF

#	Participants		Dates	# of participants		Title of workshop/meeting	Location of workshop/meeting	Workshop/meeting organizer
	Ministry, District or UN staff	Others		M	F			
8.	ISWA government officials and CSOs		27-29 August 2016	63	6	National Development Plan advisory council meeting for ISWA	Baidoa	ISWA MoPIC
9.	Ex-Banadir regional authority, current Banadir administration, MPs, Independent Commissioners, MoIFA and relevant line ministry representatives	Religious leaders, selected civil society members	15 August 2016	57	13	Consultative workshop on boundaries/federalism with religious elders/intellectuals	Mogadishu	MoIFA, BFC
10.		CSOs, women's groups	15-17 August 2016	47	23	Federalism and good governance workshop for CSOs/women's groups	Kismayo	JSS Office of the President, Ministry of Women, Family Affairs & Human Rights
11.		Somali youth in Galmudug districts	20-25 August 2016	37	13	Galmudug youth conference	Adaado	GIA Ministry of Youth & Sport, Galmudug Youth Organization
12.	GIA Ministers, UNDP/UNSOM project staff		23-24 August 2016	14	3	Strategic planning for GIA – 2 nd meeting	Mogadishu	GIA
13.	ISWA government officials, UN agencies (Unicef, UNOCHA, UNDP, UNHCR)	NGOs, INGOs (DRC, COOPI, WV, GREDO, NRC, Concern and others)	24 August 2016	31	3	Aid coordination meeting – ISWA	Baidoa	ISWA MoPIC/UNDP



SOMALIA UN MPTF

#	Participants		Dates	# of participants		Title of workshop/meeting	Location of workshop/meeting	Workshop/meeting organizer
	Ministry, District or UN staff	Others		M	F			
14.	GIA Minister of Constitution and Reconciliation, MPs, Galkayo District Commissioner, Deputy Commissioner of Galkayo District	Elders and women from the conflicting communities	24-27 August	68	32	Reconciliation conference for the Samater Agane and Mohamed Agane communities	Galkayo	GIA
15.	Ministries, UN agencies (Unicef, UNOCHA, UNDP)	INGOs, NNGOs, NRC, DRC	27-29 August	63	6	ISWA strategic planning consultations	Baidoa	ISWA MoPIC/UnDP
16.		Citizens				Federalism Campaign through FM radios	Lower Jubba	JSS
17.	Jubbaland Ministers, MPs	Jubbaland residents, youth leaders, women's groups, academics, business community, civil society	31 August – 6 September	162	88	Gedo peace conference	Dollow	JSS Office of the President
18.	Office of the President, Members of Parliament, Prime Minister's Office, Line ministries	Civil society and academic institution representatives, youth, women's groups	1 September	63	16	Strategic framework/policy of BFC role in federalism and boundary demarcation workshops with CSOs	Mogadishu	BFC
TOTAL				225	104			



SOMALIA UN MPTF

ANNEX 5. HUMAN RESOURCES SUPPORT IN Q3 2016

Institution/ Administration	Location	Position	Number		Current Contract Start Date	Status	
			M	F		Retained	Newly Recruited
FGS MoIFA	Mogadishu	Senior Technical Advisor	1	0	April 2016	X	
		Outreach and Reporting Advisor	1	0	April 2016	X	
		Admin & Finance Advisor	1	0	April 2016	X	
		M&E Advisor	1	0	April 2016	X	
		Logistics Advisor	0	1	April 2016	X	
		Desk Officer	3	1	June 2016	X	
		Intern	7	3	April 2016	X	
OPM	Mogadishu	Technical Advisor – Liaison & Coordination	1	0	August 2016		X
		Technical Advisor – Communication & Reporting	1	0	August 2016		X
BFC	Mogadishu	Planning Advisor*	1	0	August 2016		X
		Asst. Technical Officer	0	1	June 2016	X	
		Intern	2	1	June 2016	X	
GIA	Adaado	Planning & Coordination Advisor	1	0	June 2016	X	
		Technical Officer	1	1	April 2016	X	
		Technical Officer	0	1	August 2016		X
		Intern	6	4	June 2016	X	
ISWA	Baidoa	Outreach Advisor	1	0	April 2016	X	
		Planning Advisor	1	0	April 2016	X	
		Technical Officer	1	0	June 2016	X	
JSS	Kismayo	Planning & Coordination Advisor	1	0	July 2016	X	
		Technical Officer	1	0	July 2016	X	
		Intern	8	1	July 2016	X	
Total			40	14			

*Note: This position replaces the Technical Officer that was killed in Nasa Hablod attack on 25 June.



SOMALIA UN MPTF

ANNEX 6. OFFICE EQUIPMENT AND FURNITURE HANDED OVER IN Q3 2016

Recipient	Date of Handover	General Description	Comments	Quantity
ISWA MoPIC	6 September	Laptops	Dell Latitude E6440 Laptop (14.0")	11
ISWA MoPIC	6 September	Desktop Computers	Dell Optiplex 7020 Mini Tower Desktop	12
ISWA MoPIC	6 September	Computer Monitors	Dell monitor S2216H (21.5") VGA & HDMI Dell Monitors	12
ISWA MoPIC	6 September	Printer	HP Laserjet Printer 402dn	
ISWA MoPIC	6 September	Computer Accessories	Dell USB Mouse	12
ISWA MoPIC	6 September	Accessories	Targus 14.1" Carry Case	11
JSS	11 August 2016	Laptops	Dell Latitude E6440 Laptop (14.0")	8
JSS	11 August 2016	Desktop Computers	Dell Optiplex 7020 Mini Tower Desktop	3
JSS	11 August 2016	Computer Monitors	Dell monitor S2216H (21.5") VGA & HDMI Dell Monitors	8
JSS	11 August 2016	Computer Monitors	Dell 22" P2213 Black LCD Monitor Widescreen	3
JSS	11 August 2016	Computer Accessories	Dell USB Mouse	8
JSS	11 August 2016	Computer Accessories	Docking station	8
JSS	11 August 2016	Computer Accessories	Dell UK Keyboard	8
JSS	11 August 2016	Accessories	Targus 14.1" Carry Case	8
JSS	11 August 2016	Office furniture (desks/tables)	L-shaped office desk 1800x1800x750m as per LTA 2015.030.OPS	12
JSS	11 August 2016	Office furniture (desks/tables)	Oval conference table – Modular in grey finish 3300 x 1500 x 750	3
JSS	11 August 2016	Office furniture (desks/tables)	Oval conference table – modular in grey finish 3300 x 1500 x 750	1
JSS	11 August 2016	Office furniture (desks/tables)	L-shaped office desk of size 2100 x 2100 x 750mm	3



SOMALIA UN MPTF

Recipient	Date of Handover	General Description	Comments	Quantity
JSS	11 August 2016	Office furniture (desks/tables)	L-shaped office desk of size 1800 x 1800 x 750mm	3
JSS	11 August 2016	Office furniture (desks/tables)	Oval conference table (wooden) – cherry beech	2
JSS	11 August 2016	Office furniture (cabinets)	High level cabinet with glass and full doors at the bottom which are lockable	15
JSS	11 August 2016	Office furniture (chairs)	Conference stacking or meeting chairs in blue fabric, black frame	45
JSS	11 August 2016	Office furniture (chairs)	Godot visitor chair with a corner table – blue fabric	56
JSS	11 August 2016	Office furniture (chairs)	Office sofa fabric – 5 seaters	1
GIA	26 September 2016	LCD Digital Multimedia Projector.	Model: NEC NP-302X	3
GIA	26 September 2016	Printer	HP LaserJet Printer 402dn	2
GIA	26 September 2016	Printer	HP LaserJet Printer 225dn	1