

## PRF – PROJECT DOCUMENT



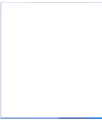




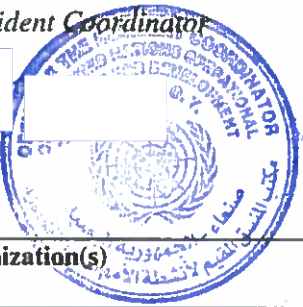





### United Nations Peacebuilding Support Office (PBSO)/ Peacebuilding Fund (PBF)

## PROJECT DOCUMENT COVER SHEET

<b>Project Title: Peace and Transition Support Project</b>	<b>Recipient UN Organization(s): UNDP UNFPA</b>
<b>Project Contact:</b> - Edward Christow, UNDP Yemen, +967712222322, edward.christow@undp.org - Himyar Abdulmoghni, UNFPA Yemen, +967712224006, abdulmoghni@unfpa.org	<b>Implementing Partner(s):</b> (Government, Civil Society Organizations, etc.)
<b>Project Number:</b> (To be completed by UNDP MPTF Office)	<b>Project Location:</b> Sanaa
<b>Project Description:</b>  The Peace and Transition Support Project will use country systems at district and governorate level to address the drivers of conflict, signal state commitment to an inclusive social contract and build national capacities to address the triggers of violence in Yemen. The PTSP has been developed by the Working Group for Governance and Elections.	<b>Total Project Cost: \$7,232,000</b> <b>Peacebuilding Fund: \$ 2,000,000</b> <b>Recipient UN Organization(s): \$ 1,851,851.86</b> <ul style="list-style-type: none"> <li>• UNDP: \$934,579.44</li> <li>• UNFPA: \$ 934,579.44</li> </ul> <b>UNDP BCPR TTF: \$300,000</b> <b>Government Input: \$1,000,000</b> <b>EU \$1,500,000</b> <b>UNFPA \$30,000</b> <b>Total: \$4,830,000</b>
<b>Gender Marker Score<sup>1</sup>: 2</b> <i>Score 3 for projects that are targeted 100% to women beneficiaries and/or address specific hardships faced by women and girls in post-conflict situations;</i> <i>Score 2 for projects with specific component, activities and budget allocated to women;</i> <i>Score 1 for projects with women mentioned explicitly in its objectives, but no specific activities are formulated nor is a budget reserved; and</i> <i>Score 0 for projects that do not specifically mention women.</i>	
<b>PBF Outcomes<sup>2</sup>: Strengthened social cohesion at the sub-national and community level increases resilience to conflict</b> <b>Democratic Governance</b> <b>Public Administration</b> <b>Public Service Delivery</b>	
<b>Project Outputs and Key Activities:</b> <i>(A paragraph outlining key project outputs, activities and results)</i>	

<sup>1</sup> The PBSO monitors the inclusion of women and girls in all PBF projects in line with SC Resolutions 1325, 1612, 1888, 1889.

<sup>2</sup> PBF specific outcome areas: 1 Security Sector Reform; 2 Rule of Law; 3 (DD)R; 4 Political dialogue for Peace Agreements; 5. National reconciliation; 6. Democratic governance; 7. Management of natural resources (including land); 8. Short-term employment generation; 9. Sustainable livelihoods; 10. Public administration; and 11. Public service delivery (including infrastructure)

(for PRF-funded projects)	
Co-chairs of the Joint Steering Committee	
<p>Mr. Jamal Benomar Special Advisor to the Secretary-General on Yemen</p> <p>Signature </p> <p>Date &amp; Seal </p>	<p>HE Mr. Mohammed Al-Sa'adi Minister of Planning and International Cooperation</p> <p>Signature </p> <p>Date &amp; Seal </p>
<p>Mr. Paolo Lembo United Nations Resident Coordinator</p> <p>Signature </p> <p>Date &amp; Seal </p>	<p>Ms. Elizabeth UNFPA OIC</p> <p>03 July 2014</p> <p></p>
<p>Recipient UN Organization(s)</p>	<p>National Implementing Partner(s)</p>
<p>Ms. Mikiko Tanaka</p> <p>Signature </p> <p>UNDP Country Director</p> <p>Date &amp; Seal  14/4/2014</p>	<p>HE Mr. Ali Mohamed Al-Yazidi</p> <p>Signature </p> <p>Minister of Local Administration</p> <p>Date &amp; Seal </p>

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## PROJECT COMPONENTS:

### COMPONENT 1: (The “WHY”) (maximum one page)

#### a) Project Justification

Already one of the poorest countries in the Arab region, Yemen faces daunting social and economic challenges.<sup>3</sup> Whilst the root causes of these challenges will take concerted long-term investments to address, the 2011 movement that overthrew the 30-year dictatorship marks an entry point for the country to move forward. The negotiated political settlement has set the framework for the state to rebuild the trust of the population, and collaborate with Yemen's partners to address national development challenges.<sup>4</sup> Nevertheless, the peace secured in 2011 remains fragile, and the next 18-36 months will be crucial in ensuring the success of the ongoing efforts. With general elections scheduled for 2014, Yemen has limited time to put in place key reforms and meet the high expectations of the population. With National Dialogue started it is important to look beyond emergency actions and immediate relief and shift towards sustainable initiatives that can support the country to obtain the objectives of the GCC transition agreement.

The proposed project is aligned with the overall goal of the **Transitional Program for Stabilization and Development (TPSD)** of “restoring political, security and economic stability and enhancing state building”. The proposed project will address Focus Area 2 and Focus area 4 of the TPSD: “Good governance” and “economic recovery, stabilization, and growth foundations” (see TPSD, page 8). This project will also address the TPSD cross cutting theme of “Youth and Women Empowerment” (see TPSD, page 10) and contribute to the overall aspirations of Focus area 5 on human development and acceleration of MDGs. In addition, the TPSD sets the overall principal of mainstreaming gender in each identified areas. Moreover, the project falls within the **Mutual Accountability Framework (MAF)**, Pillar V “Meet Emergency Humanitarian and Material Needs and Deliver Basic Services to Citizens” and Pillar VI “Civil Society Empowerment and Partnership”. The project, by supporting the harmonization of local government financing around TPSD goals also supports, Pillar I. ‘Work towards Coherence between the Priorities of the Budget, the Public Investment Plan (PIP) and the TPSD’. The proposed project is also aligned with the five peace building priorities established by the UN Secretary General.

Drawing on the recently completed UN Lessons Learned Review on Public Administration and Local Governance as well as the SG's Report on Peacebuilding in the Immediate Aftermath of conflict, the proposed project will provide catalytic<sup>5</sup> support to institutions, generating immediate short-term peace

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<sup>3</sup> Yemen has limited natural resources, most notably water and arable land, and a population which at 23 million in 2010, is expected to double by the year 2033. Reflecting this population boom amidst stagnant economic growth poverty rates have risen from 35% in 2006, to 42% in 2011, and 54.4% in 2012. More than 45% of the population is below the age of 15, and another 23.17% is between 15 and 24 years old. In 2009, using pre-revolution growth rates, the Government of Yemen, the World Bank and the UN jointly confirmed that based upon current progress and available revenue that, attaining the MDG targets was impossible by 2015.

<sup>4</sup> On 23 November 2011, Yemeni parties signed a Transition Agreement in Riyadh resulting from face-to-face negotiations facilitated by the UN Special Adviser to the Secretary General, in close cooperation with the Gulf Cooperation Council, the Security Council and other international partners. The Agreement sets out a detailed roadmap with clear benchmarks. The first phase of the agreement was successfully completed in February 2012, with the election of Vice-President Hadi as President. The election was largely peaceful and saw high voter participation (around 60%), particularly from youth. The second transition phase is currently underway. It includes the convening of an all-inclusive National Dialogue Conference, which started on 18 March 2013, a constitutional drafting process, followed by a referendum, and finally general elections in 2014. Despite recent important progress in the implementation of the transition agreement, the peace process is fragile and its implementation faces many challenges.

<sup>5</sup> Definition of Catalytic for PBF Projects: An initiative is catalytic when it a) **launches** an initiative that allows for longer-term or larger peacebuilding efforts or b) **unblocks** a stalled peacebuilding process and/or c) it undertakes an **innovative, risky or politically sensitive** intervention that other actors are unwilling to support—

dividends in conflict affected governorates; signaling government commitments (through national and development budget allocations) to inclusive peace and development; and demonstrating results and evidence to attract additional resources to support longer-term systemic reform based on the national dialogue and constitutional review.

## **COMPONENT 2: (the “What”) (maximum one and a half pages)**

### **a) Project focus and target groups**

#### **- Project focus:**

The Peace and Transition Support Project (PTSP) will support the joint planning, delivery and monitoring of peace and development projects by district authorities and civil society organisations. It is designed to take advantage of Yemen's existing development planning and delivery systems, at district and national level, in collaboration with networks representing marginalized groups, in particular youth and women's groups, to bring the dividends of the transition to the district and governorate level. Whilst assisting conflict-affected governorates to undertake targeted peace and development projects, the focus of the project is to bring state processes and staff closer to the population and to contribute to a peaceful transition period.

The project will adopt a three pronged strategy of:

- (i) building credibility of the Government of Yemen by facilitating local peace and development programming,
- (ii) building capacity of civil society (youth) and women's groups to engage state policy makers and planners to achieve practical peace and development objectives,
- (iii) building institutional, organizational and technical readiness of local institutions in Yemen, as a preparation for adopting the agreed new form of state in Yemen, assuming roles in the changed form of state and implementation of reforms

#### **- Key target groups/beneficiaries:**

The primary target beneficiaries of the project are those populations in conflict affected governorates, particularly women and youth, who are both most at risk of conflict, and in some cases are the source of conflict itself. Repeated conflicts and crises since 2004, have tested these populations' capacity to cope, and persistent or worsening relative deprivation is fuelling resentment. This is true where the lack of state presence or reliable provision of public goods is reinforcing political narratives of marginalization and exclusion, and reflected in the voices of women and youth who led the uprising. Despite representing over 68% of the population, and with an overwhelming presence within the civil society sector, youth and women remain under-represented in political debate and leadership and these voices, especially young women, should be linked to the institutional mechanisms for the country's future development.

Gender disparity remains a major challenge in Yemen. In 2012, Yemen ranked last of 135 countries in the Global Gender Gap Index<sup>6</sup>, but that was also the case for the last six years (from 2007 to 2012).<sup>7</sup> It is also a country that holds one of the highest maternal mortality rates (365/100,000) in the Arab region. This reflects strong tension in terms of gender relationships that are factors or triggers of conflicts or tensions. In addition, it is not likely that Yemen will be able to reach any of the objectives of the MDGs in 2015, such as most of the MDG goals indicators associated with women (MDG 3 on promote gender equality and empower women and MDG 5 on improving maternal health). Therefore, it is not expected that the tension in the gender relationship will be reduced if nothing is accomplished in order to tackle this issue.

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and that addresses conflict factors.

<sup>6</sup> *The Global Gender Gap Index 2012*, Ricardo Hausman, Laura Tyson, Saadia Zahidi, World Economic Forum.

<sup>7</sup> *Common Country Assessment*, UNDP (2011).

The secondary beneficiaries are the district authorities mandated by law to deliver developmental services to the 75% of the population living in rural areas. Whilst national government is more affected by the current political transition, district authorities still have the responsibility to deliver services and to ensure that citizens' voices and aspirations are taken on board by the state in development and recovery processes.<sup>8</sup> In various state and peace building processes (e.g. Afghanistan, Nepal, Aceh, Colombia, Liberia, Timor Leste and Sierra Leone), strengthening local level governance structures has been an important factor in the implementation and the long term consolidation of peace and stability.

A third beneficiary group of the project will be civil society organizations, both as a partner in implementation, and as drivers for inclusion of marginalized populations. Yemen has a nascent civil society sector which provides an important entry point to address key issues of marginalization and exclusion.<sup>9</sup> Unlike political parties, this sector has played a critical role in promoting women and youth leadership and presence in different spheres. Before 2011, out of the 7,000 registered NGOs, 55% were headed by women (especially young women).<sup>10</sup> Within the last year the number of registered NGOs increased substantively to reach the number of 11,000,<sup>11</sup> not taking into account non-registered youth initiatives. In the past civil society organizations (CSOs) in Yemen were accepted by society as a "charitable" arm to provide goods and services to the less privileged. Often these CSOs were affiliated with particular political parties and considered "political" entities. This however is changing slowly since the 2011 uprising. More and more CSOs are considering themselves to be change agents of democracy and the younger generations are willing to make this transformation in the organizations they lead. However, civil society (comprising of NGOs, women groups and youth initiatives) are still weak in their function and operation. Most importantly, their role as a check and balance for decision-makers at the local and national level has not yet been realized.

Whilst the focus of the project is on conflict affected districts, the PTSP promotes the incorporation of lessons learned from experience and recognizes the importance of informing policy reform to secure the sustainability of project inputs, and ensure that demonstrable results can be scaled up. The final beneficiary of the project will be the national institutions tasked in the national dialogue and constitutional review processes to support a reform of Yemen's local government systems. The PTSP will support public consultation and technical advice in the formulation and implementation of the political and legislative framework under development through the national dialogue and constitutional review processes.

#### **b) Theory of changes: linking activities to results**

##### **- Theory of changes:**

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<sup>8</sup> Yemen started a decentralization process in 2000, with the first local council elections in 2002. Since the start of the decentralization process, the evolving legal framework has put in place systems for improved financial management and project planning, implementation and monitoring at district level, however, implementation has faced limitations due to the centralisation of authority, including through informal channels, in Sana'a. As a result, local governments at district level have weak understanding of a democratic mechanism such as the role of the civil society, citizen participation in decision-making or the basic principles of a democratic system among them accountability and transparency, yet hold responsibilities for development planning, service delivery and peace and security. For instance, one of the major concerns of "accountability" is described by a high number of women (nearly 3,000 from the recent survey) who said they would not seek help from local authorities in case of any abuse of violence. The National Dialogue Conference under the transition agreement recommended a federal structure for Yemen's future governance, details of which will be elaborated in subsequent phases and included in the Constitution to be drafted.

<sup>9</sup> Civil society is not new in Yemen per se. However, the current concept and direction that Yemeni civil society is aiming to reach is based on a modern concept of democracy, which was not perceived as seen during the period before the revolution of 2011 that overthrew the former President Ali Abdulla Saleh

<sup>10</sup> The Status of Progress of Women, in the Middle East and North Africa, World Bank, 2009.

<sup>11</sup> Ministry of Social Affairs and Labour.

This project takes a **Peacebuilding and Statebuilding** approach, working with and through country systems to address the drivers of conflict, and signal state commitment to recovery. Building on lessons learned both within the region and globally, particularly from Somalia and Colombia, the Peace and Transition Support Project (PTSP) seeks to support a system for increasing participation of at risk citizens in local peace and development planning and policy development in order to address potential conflict triggers at local level, whilst working to rebuild confidence in national efforts to address exclusion and marginalisation, most importantly of youth and women, in decision making.

The PTSP is based on the assumption that **development is possible and necessary**, even in the midst of conflict. The project believes that a cause of conflict in Yemen is the lack of development and access to basic social services, and specifically the absence of clear signals that government is committed to inclusive development. This has raised the issue of equity in the distribution of public goods to the political level, and brought into question the legitimacy of structures and institutional arrangements. In this environment “**local development cannot wait**”, as all political commitments will be tested against changes in delivery. As a result, the pursuit of effective local governance to support this process cannot be relegated until after the transitional period. Service provision relies on local authorities being able to perform their responsibilities, manage resources appropriately and earn the trust of their constituents.

#### **Linking Local Governance and Service Delivery in Yemen**

- Support local governance as a core reconciliation and peace-building strategy
- Take advantage of the existing building blocks of local governance to strengthen local level capacity while anticipating clarification of the future federal structure recommended by the National Dialogue Conference
- Enhance the role and capacities of local governments in service delivery
- Increase resource mobilization for essential services and local development
- Improve inclusive and responsive management of public goods
- Accelerate improvement and access to essential services

The PTSP is also based on the assumption that **conflicts do not end, but that they transform**. Regional and global experience, most importantly Egypt but also Tunisia, have highlighted the vulnerability of transition agreements to renewed crisis when political deadlock or institutional legacies undermine progress and thwart popular expectations of change. Whilst negotiated transitions are critical to delivering a political settlement, maintaining confidence in reform requires proving that new avenues for participation and voice within government are effective. In this process, local accommodation can be as important as political accommodation in determining national outcomes. Grievances and marginalization if left unaddressed, continue to fuel political and local tensions, and can jeopardize progress on national issues. It is essential, therefore, to build national capacities to transform conflict early and bridge the divide between state and society by demonstrating a visible commitment to the terms of peace throughout the country.

#### **Linking Local Governance and Civil Society to foster state-society relations**

- Strengthen civil society and NGO capacity and provide participatory decision-making processes for behalf of women and youth;
- Establish a communication pipeline between the Yemeni people, grassroots actors, and national policy processes (in particular related to areas on gender-based violence/violence against women and reproductive health/rights)
- Improve the oversight and monitoring of government performance by civil society at local level
- Build mechanisms by which state and society can co-produce public goods under civil oversight

The project is based on the assumption that the crisis in Yemen is the outcome of institutional weaknesses and systemic vulnerabilities.<sup>12</sup> These vulnerabilities cannot be addressed by short term relief alone, **national institutions and capacities are essential** to secure sustainable transitions. The PTSP is based on the recognition that institutional support is often a critical gap during political transitions, and this is particularly so with regards to civilian governance and the administration of territory. International funding is often focused on immediate delivery of services in parallel to state institutions, and the re-establishment of security institutions. As a result the peacebuilding impact of civilian institutions is often neglected, particularly at the local level.

#### **Linking Transitional Support to Institution Building**

- A participatory district planning and investment process will be developed to provide the framework for the development of a single, integrated development and investment plan for each district regardless of funding source.
- The district planning and investment process will support and provide control and validation of planning, budgeting, procurement, service delivery, auditing, and monitoring & evaluation at district level
- A recovery grant will serve as a platform for enhancing the fiscal space at district level, to attract and promote both internal and external revenue in the long term;

### **COMPONENT 3: (the “How” or Implementation Strategy) (maximum one and a half pages)**

#### **a) Implementation approach**

##### **- Prioritisation and phasing of support:**

Based on these assumptions, Output 1 builds the capacity of local authorities to implement public policy in matters of human development and non-violent management of conflict, by assisting district authorities in conflict affected and at risk governorates to identify and prioritize development projects around peacebuilding priorities and processes. The overall objective of this output is to rebuild institutional systems for delivery of municipal services, and establish institutional and human capacities for peacebuilding.

- The project will work with the Ministry of Local Administration, and Civil Society, in the establishment of a Mobile Team (MT) of training and mentoring staff selected from relevant ministries. This team will review and develop a training program, targeting priority governorates, and identify governorate level District Facilitation Teams (DFTs), consisting of civil society and governorate government staff, in each governorate.
- DFTs will be enrolled in a Peace and Development Leadership training program providing regular interaction, lessons learning, and peer-exchange as well as training on core modules of conflict analysis and sensitivity, project planning, implementation and management using existing guidance and handbooks. These teams will assess and reinforce systems in selected districts, provide on-the-job mentoring to district staff, and put in place key safeguards to ensure accountability.
- The DFTs will support district authorities to develop peace and development plans, identifying priority projects designed to bridge divides between communities, and bring the state visibly closer to the population. Upon successful submission of district plans, annual grants will be provided to each district to implement peace and development projects. These grants will be supplemented by government transfers and matching grants from the Social Fund for Development in order to finance local recovery results quickly and at scale using procedures that are appropriate to a fragile state.

Output 2 will contribute to the formalization of a mechanism for inclusive participation of civil society, particularly women and youth, in decision making at local level. The overall objective of this

<sup>12</sup> World Bank (2011) *World Development Report: Violence, Security and Development*.

output is to build mechanism for a transparent and participatory local democracy, based on mutual understanding and willingness to work with the Local Authorities to address priority issues, enhancing civil society abilities to claim for rights and the population's rights in public decision making process.

- Working with the Community Coalition (CC) network at the national level, linked with governorate level civil society network consisting of women and youth, the PTSP will assist CC to accompany the planning and the delivery of projects with active promotion, facilitation, and consolidation of partnerships between the State, and civil society, enabling CSO networks to participate in all aspects of local peace and development.
- The project will support the Community Coalition network to form district/governorate level Community Action Committees (CACs) in each of the project target districts. These will be comprised of local NGOs, community leaders, and other civil society organization/groups/individuals as well as representatives of the national network, with a specific interest on youth and women. The CACs will have two main activities:
  - The CACs will collaborate with the Local Authorities on the identification of local needs of the population. The Local Authorities will then develop projects to meet those needs, and the CACs will monitor those projects..
  - In line with the recommendations of the National Dialogue, the CACs will conduct specific assessments, and implement projects addressing specific gender issues, under the umbrella of human rights (on specific issues such as on Violence Against Women (VAW) and/or reproductive health/rights). Fifteen percent of the funds will be dedicated to the implementation of these specific projects (upon the agreement of the LA).
- The CAC will reflexively inform the local population, with a specific focus on youth and women, about the decisions taken by the Local Authorities (through campaigns, gatherings). Working with civil society representatives at governorate and district level, the PTSP to support dialogue within the CAC for local peace and development, as well as a forum for conducting multi-stakeholder conflict analysis, with a specific focus on gender relations.

Finally, output 3 will support the outcomes of the national dialogue and constitutional review, by supporting, in a limited way, MoLA's central capacity to understand different governance models, propose appropriate structures/systems for local governance and undertake public consultation on the options for local government. This will be based on **learning and evaluating** to prepare for sustainable investment in peace and development at a larger scale through the reform of the state following the end of the transition. Annual reviews will be undertaken and investment in lessons learning will prepare for the development of medium term support to the implementation of an eventual agreement on the political and legislative framework for local government in Yemen following the national dialogue and constitutional review process. In the final phase of the project, the PTSP will support the development of national capacities, coordination fora, and ownership in preparation for subsequent support.

Appropriate oversight and support mechanisms will also be established at the national and governorate levels with the appointment of a fund management and M&E specialist within the Ministry of Local Administration, as well as use of the district facilitation teams to monitor grant funded projects and activities. Mechanisms for financial accountability will also be set up through engagement of national accountability institutions such as the COCA.

The project is integrated into a larger programmatic strategy extending beyond the transition, and is intended to secure **Early and Catalytic Results**, in establishing and building the credibility of local authorities as a strategy for building peace in Yemen. The strategy for achieving and demonstrating **early results** will be

- Simple, basic systems for general administration, planning and financial management and systematic roll-out;

- Basic support package and start-up grant for district councils to support basic infrastructure/equipment costs;
- 'Peace Dividend' projects that entail public goods and services, for example a market trading area, irrigation, feeder roads, bridges etc.;
- Civic Education and outreach for involving constituents in local government plans and initiatives and for conveying early efforts;
- Piloting a participatory planning system and local development financing.

The project will expand progressively, targeting **three (3) conflict affected and at risk governorates** and **covering four (4) districts** in each governorate during the lifespan of the project. The number of governorates and districts can be expanded, based upon demonstration of results and impact, upon direction of the project board, but should be keenly guided by the total resources available for the project in order to generate significant impact per the programme objective.

- All target authorities that are accessible will receive an initial minimum package of orientation training, basic civic education, infrastructure support and capacity development.
- Subsequent stages of assistance will be results-driven and performance-based. There will be flexibility for districts to advance at their own pace, however by the end of the project period it is expected that all target districts across Yemen should have achieved minimum standards of performance.

The project will adjust to local needs and priorities as far as possible, although some activities will be generic, such as trainings in participatory planning. To reflect the differing levels of advancement in local governance across Yemen, the outputs and their respective activities are not necessarily sequential. Several activities under different outputs may be undertaken simultaneously, and the starting point for activities may differ from district to district. For example, support to district authorities and the participatory processes therein will be dependent on the current status and capacity of authorities at district level.

A comparative report on the respective governorates will be submitted to the Project partners and will be approved by the Project Board. MoLA will then engage selected Governorates using the same criteria to select districts which will be proposed to the Project Board for approval.

The criteria for the selection of the Governorates and the districts within these governorates are:

1. Basic Security, and Accessibility;
2. Capacity to deliver on the programme (Government and CSO);
3. Relevance of the Peace and development intervention;
4. Geographical balance across Yemen;
5. Support to the decentralisation of the State;
6. A fair chance of success.

On top of these criteria, the project will carefully assess the need and importance of balancing regional representation in a project that links to legislative and policy formulation.

Following in-depth discussion with national partners, Ministry of Local Administration and Community Coalition, which was subsequently followed up by discussion and endorsement by the UN Country Team, the PTSP activities will focus on Hadhramout, Hajjah and Taiz (to be confirmed with the government) Governorates, As well as the Governorate of Amran was added during the PBF JSC on 18 February 2014.

#### - Project implementation modalities:

The PTSP takes a 'One UN' approach, drawing on the technical expertise, activities and experience of Government, UN, and other partners and actors to deliver a coordinated and effective decentralization program. The **proposed project has been developed by the Working Group for Governance and**

**Elections in collaboration with the Working Group on Gender established within the Joint UN framework** to support the transition in Yemen with active participation of the Ministry of Local Administration (in close collaboration with Ministry of Planning and International Cooperation) and two (2) UN Agencies; reflecting the commitment of the government and United Nations System to address critical issues. The two UN Agencies bring together key capabilities to achieve the objectives of the project. UNDP comes with the history and partnership of working with local governments and the national development institutions necessary to influence the local systems, processes and structures for local decision making and development; while UNFPA brings in the network of women and youth Civil Society organizations.

The program will be led by UNDP and implemented jointly with UNFPA in support of the Government of Yemen. The PTSP will work with the Office of the Special Envoy and other partners to maximize the coordination of support at governorate level with a well-managed and smooth national transition.

The project will also work closely with the Social Fund for Development and the Ministry of Local Administration to ensure that grants allocated to support peacebuilding and recovery are supplemented and sustained by government fiscal transfers and social development financing.

A team will be established in the Ministry of Local Administration consisting of an International Chief Technical Advisor (CTA), one International Gender/Civil Society Organization Specialist, one Monitoring and Reporting Officer, a National Grants Officer, a National Communications Officer, and a team assistant.

Governorate Coordinators will be appointed in all selected governorates and will be housed by the Community Coalition (CC), a national network (composed by NGOs and recognized figures from the revolution of 2011 and prior) established in August 2012, with the support of Peacebuilding Fund IRF. The Governorate Coordinators will report directly to the Chief Technical Advisor and the Gender/Civil Society Organization Specialist. The CC has worked to convey messages which reflect the voices of men and women during the preparation of the National Dialogue. The preparation phase of the PTSP will support in assessing the capacity of the CSOs at local level, in the different targeted governorates, to ensure that the coalition can effectively work with local government.

The Chief Technical Advisor, under the overall guidance and supervision of (MoLA) and in close cooperation with UNDP and UNFPA will be responsible for day-to-day management, administration, decision-making regarding the activities of the project. The CTA will ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The project will establish a small project grant managed by the team sitting at MoLA. The purpose of the grant is to provide ready funding for catalytic peace and development activities at the local level and also to facilitate social cohesion. The grant would be triggered by selected projects from the respective district plans based upon defined criteria approved by the project board.

The grant will be transferred directly to district accounts and, supported by the DFT, will enable district authorities to deliver specific recovery and/or peacebuilding projects. The Community Action Committees, which include a representation of CSOs will be responsible for monitoring and ensuring accountability for the grant among others. For the strictest accountability, the grant management will be audited by CoCA which will receive a special support for the purpose.

The funding mechanism would provide additional legitimacy for district plans, facilitate the targeting of local recovery and peacebuilding interventions, strengthen local capacity for fund management and accountability with the involvement of COCA, and nurture a mutual relationship between local governance institutions and CSO.

Individual Letters of Agreement will be agreed with each individual district authority selected by the project. These letters of the agreement will define responsibilities in the implementation of grant activities. Grants will be allocated against the following steps with each step to be agreed by UNDP program and the project board:

- Annual workplan
- Quarterly workplan
- Cash Advance
- Submission of quarterly financial reports

All steps will be monitored and approved by UNDP program assurance, with progression on each step dependent upon successful approval of preceding step.

## b) Budget

*- Budget break-down into categories: Using the table below, break down the proposed budget for the project(s) according to key budget categories. This is the Standard Format\* agreed by UNDG Financial Policies Working Group with necessary modifications to suit the expected PBF project activities. The use of the budget format is mandatory as it allows the UNDP MPTF Office as the PBF Administrative Agent to consolidate and synthesize the periodic financial expenditure reports that will be submitted by Recipient UN Organizations. Recipient UN Organizations are required to attach a copy of the project budget, showing in detail the different budget lines that lead to the final figures in the standard format of their organization to facilitate review.*

<b>PBF PROJECT BUDGET</b>			
<b>CATEGORIES</b>	<b>Amount Participating Agency (UNDP)</b>	<b>Amount Participating Agency (UNFPA)</b>	<b>TOTAL</b>
1. Staff and other personnel	\$220,000	\$220,000	\$440,000
2. Supplies, Commodities, Materials	\$80,000	\$60,000	\$140,000
3. Equipment, Vehicles, and Furniture (including Depreciation)	\$100,000	\$80,000	\$180,000
4. Contractual services	\$90,000	\$85,000	\$175,000
5.Travel	\$90,000	\$113,000	\$203,000
6. Transfers and Grants to Counterparts	\$285,925.93	\$313,346.93	\$599,272.86
7. General Operating and other Direct Costs	\$68,653.51	\$63,232.51	\$131,886.02
<b>Sub-Total Project Costs</b>	<b>\$934,579.44</b>	<b>\$934,579.44</b>	<b>\$1,869,158.88</b>
8. Indirect Support Costs* (7% GMS)	\$65,420.56	\$65,420.56	\$130,841.12
<b>TOTAL</b>	<b>\$1,000,000</b>	<b>\$1,000,000</b>	<b>\$2,000,000</b>

*\* The rate shall not exceed 7% of the total of categories 1-7, as specified in the PBF MOU and should follow the rules and guidelines of each recipient organization. Note that Agency-incurred direct project implementation costs should be charged to the relevant budget line, according to the Agency's regulations, rules and procedures.*

## c) Sustainability

### Sustainability of projects:

The PTSP is designed as an interim project institutionalizing a system for participatory planning, rebuilding state-society relations and reinforcing delivery systems to provide a peace dividend to conflict affected communities.

An important component of the sustainability of the programme is the development of an inclusive **district planning** system that is tailor made to address specific peace and development context in Yemen. Upon conclusion of the project this planning system will enable districts to design *one* plan based on a participatory process, and all funds to the districts – whether they are from the PTSP or from other sources, and whether they are earmarked or discretionary – can be allocated according to the prioritization made by the district in the planning process.

Districts will be eligible for peace and development grants once they have reached certain benchmarks with regard to governance and management capacity. In the initial phase, allocation of funds to the districts will only require that they have established a district working group through a participatory process. This approach is to create incentives for good performance. Districts will receive minimum support with regard to service delivery and infrastructure development.

Over time with the development of these mechanisms, efforts will be made towards harmonising all funding to districts with alignment of social development financing, fiscal transfers and local development financing aligned against participatory plans developed through active participation and inclusion of marginalized groups. In the start-up phase upon the satisfaction of a minimum set of conditions, an equal amount will be allocated to all eligible districts.

At the national level, the PTSP will also provide on the job support to draft proposals on amendments and local governance policy, coinciding with the phase of constitutional drafting, legal and policy formulation in the country, and allow for South-South learning between Yemen, and other post-conflict countries for whom government structure and local governance have been critical elements of sustainable peacebuilding (Indonesia – Aceh, East Timor, and Bangladesh).

#### d) Risk management

There are three key factors accounting for the risk to this Project. The first is a failure of the national dialogue conference and constitutional review processes. This has with it other possible risk elements such as escalation of conflict and intensity of insecurity in the project districts. This risk is very probable and would have impact on the Project but it is also very predictable and with clear indicators, reliable counter measures can be undertaken.

The second risk a perception factor which emanates for the social setting of the modern Yemenis society, where women and youth are not expected to take the public stage. Placing the women and youth at the centre of local development could trigger reprisals from some fanatics and kick against the Project. This is quite an unpredictable phenomenon as it is based on perception. The indicators are also base in behavioral assumptions; nevertheless the counter measures are incorporated as regular project activities.

The third risk factor has to do with the incapability of the local partners to respond to the activities assigned to them by the Project. This is a relatively predictable risk and the antecedents picked up with the indicators. This risk is very likely but as anticipated responses has been carved into the project activities. The Table below provides the details for the risks and the response.

Risk	Likelihood (high, medium, low)	Severity of impact on project (high, medium, low)	Mitigating Strategy	Indicators
<b>Political/Security</b>				
If there is no agreement in the national dialogue particularly on the form of government structure activities related to government policy and legal framework may not proceed	Medium	Medium	<ul style="list-style-type: none"> <li>Review Project to focus on Outputs 1 &amp; 2, which will focus on systems for delivery involving LG and CSO without recourse to national systems.</li> </ul>	<ul style="list-style-type: none"> <li>Delays in starting the National Dialogue</li> <li>Strong disagreement on the structure during the discussion</li> <li>Intense dispute on the representation at the National Dialogue</li> </ul>
Disagreement on the new national constitution expressed at the referendum leading to a stalemate	Medium	Medium	Review Project to focus on Outputs 1 & 2, which will focus on systems for delivery involving LG and CSO without recourse to national systems.	<ul style="list-style-type: none"> <li>Distinct alignment of political factions with contending issues in the constitution</li> </ul>
Security situation in selected Governorates and Districts deteriorates due to resurgence of local conflicts	Medium	High	<ul style="list-style-type: none"> <li>Refocus project activities in building social cohesion using CSOs and sub-projects</li> <li>Focus on less risky districts</li> </ul>	<ul style="list-style-type: none"> <li>Tense situation in Project's Governorates and Districts</li> <li>Disagreement at the National Dialogue</li> </ul>
Specific attack on project sites because of	Medium	High	<ul style="list-style-type: none"> <li>Create the opportunity for more</li> </ul>	<ul style="list-style-type: none"> <li>Disaffection among community</li> </ul>

focus on women and youth as against the establishment				dialogue among community members <ul style="list-style-type: none"> <li>Involve larger community in management of sub-projects</li> <li>Devote more time for local negotiations and dialogue</li> </ul>	members due to project focus. <ul style="list-style-type: none"> <li>Drop in level of participation of community leaders in project activities</li> </ul>
<b>Management</b>					
The capacity of Local government is not able to respond to the implementation and monitoring role of the Project	Medium	Low		<ul style="list-style-type: none"> <li>Outsource implementation and monitoring functions to capable running projects</li> <li>Extend programme to provide more coaching for staff at the local level</li> </ul>	<ul style="list-style-type: none"> <li>Local government personnel do not have expected basic knowledge and skill</li> <li>LG personnel do not have experience of working with CSOs</li> </ul>
The CSOs may not be able to organize and play their expected role due to political pressure	Medium	Low		<ul style="list-style-type: none"> <li>Broaden local groups to include non-women and youth groups in the implementation</li> <li>Outsource to existing NGOs to complete and use them to mobilizes CSOs</li> </ul>	<ul style="list-style-type: none"> <li>Civil Society Groups unable to sustain Networks at the local level</li> <li>CSO networks not able to organize regular meetings</li> </ul>
<b>Economic</b>					
Not able to mobilize all required resources for Project	Low	High		<ul style="list-style-type: none"> <li>Reduce number of initially selected districts an phase Project implementation</li> <li>Reprioritize Peace &amp; Development Fund for performing districts for early impact to mobilize more funds</li> </ul>	<ul style="list-style-type: none"> <li>Level commitment before start of Project by resource providers.</li> <li>Amount of base funds received from PBSF</li> </ul>
Security situation deteriorates leading to scarcity, inflation and exponential Project cost over-runs	Medium	High		<ul style="list-style-type: none"> <li>Reduce Project size and phase over a longer period</li> <li>Intensify resource mobilization</li> </ul>	<ul style="list-style-type: none"> <li>Increasing inflation</li> <li>Increasing cost of inputs</li> </ul>
<b>Social</b>					
Intense harassment of women leading to breakdown of CSO mobilization	High	Medium		<ul style="list-style-type: none"> <li>Strengthen and emphasis Output 2 of Project</li> <li>Fast-track success cases to establish confidence in women's leadership ability</li> </ul>	<ul style="list-style-type: none"> <li>Increasing cases of report harassment of women</li> <li>Decreasing level of participation in women CSOs</li> </ul>

e) **Results framework and Monitoring and evaluation:**

- Results framework: *Provide a Results framework for the project/portfolio, using the table below. At the start of the Framework summarise in one-two sentences the underlying roadmap for peacebuilding, the purpose of PBF support and the underpinning theory of change. Further instructions and examples for each table column are contained at the bottom of the table.*

**Results Framework for PRF projects**

Policy statement / national roadmap for peace building: Focus Area 2 and Focus area 4 of the TPSP: "Good governance" and "economic recovery, stabilization, and growth foundations"								
Purpose of PBF support: Public trust in government improved in conflict affected governorates								
Theory of change statement: The Peace and Transition Support Project (PTSP) will build system for institutionalizing increased participation of at risk citizens in local peace and development planning and policy development in order to address potential conflict triggers at local level, and rebuild confidence in national efforts to address exclusion and marginalisation, most importantly of youth and women, in decision making.								
(1) Outcomes and types of change required	(2) Indicators	(3) Baselines and time-bound targets	(4) Outputs and activities	(5) Indicators	(6) Baselines and time-bound targets	(7) RU/NO & party responsible for mobilizing inputs	(8) Inputs/ budget	(9) Assumptions
1. Outcome 1: District and Governorate Authorities capacitated to deliver peace and development projects (structural)	# of people benefiting from district plans focused on peace and development (District reports)		Output 1.1: Local authorities have basic equipment and resources to fulfill prioritized roles and responsibilities  Activity 1.1.1: Townhall meetings and community mobilisation held in 12 target districts	12 of Peace and Development Plans, based upon conflict analysis, targeting youth and women, developed and under implementation (Government reports and			\$120,000	
	% of women as overall number of participants in district		Activity 1.1.2: Rapid appraisal/monitoring of assets, capacities, and resources of district authorities DFT visit each district (			UNDP/MoLA/UNF PA	\$23,000	
						UNDP	\$200,000	
							\$2000	

planning process	US\$1,000x12/year)	Activity 1.1.3: Procurement of standard equipment package for District Facilitation Teams (3 x desks, 2x shelf, 3 x computers, fax, canera, stationery, white board, telephone, chairs, \$18,000 x 12)	monitoring visits/reports) % of district budget allocated to peace and development projects in affected communities (District budgets)	UNDP	\$5,000	
		Output 1.2: District Facilitation Teams established and supported to provide technical guidance to local authorities		UNDP/ MoLA	\$100,000	
		Activity 1.2.1: Formation of Mobile Training Team (1 planning, 1 PFM, 1 M&E, 1 management, 1 gender)	% of 'satisfactory' audit reports submitted on District authorities financial statements (CoCA reports)	UNDP/MoLA	\$5,000	
		Activity 1.2.2: Orientation Training and workshops for Mobile Teams		UNDP/MoLA	\$150,000	
		Activity 1.2.3: Field Visits for Mobile Teams (2 weeks field visit/governorate/year)		MoLA		
		Activity 1.2.4: District Facilitation Teams selected from governorate offices in target governorates (5 members per governorate )		UNDP		
					\$20,000	

					Activity 1.2.5: Peacebuilding Leadership Program for DFTs and CSO representatives (conflict analysis, sensitivity, peacebuilding/ conflict management, , planning, M&E, in tri-annual training in Sana'a)			UNDP	\$120,000	
					Activity 1.2.6: Orientation training of DFTs and CSO			UNDP/MoLA/UNF PA	\$300,000	
					Activity 1.2.7: Monitoring Visits by DFTs and CSOs to target districts (4 x year)				\$15,000	
					Output 1.3: Grants provided to local authorities to respond to local peacebuilding and recovery needs				\$3,600,000	
					Activity 1.3.1 Support for development of district peace and development plans and projects (district councils, executive office and civil society)			UNDP	\$150,000	
					Activity 1.3.2 Design of Peace and Development Grant system			UNDP		
					Activity 1.3.3 Provision of Peace and Development Grants to Districts			UNDP/MoLA		







Political and Legislative Framework for local governance extension and reform strengthened through the transition process			technical advice and comparative experience in support of design of a system of local governance in support of outcome of national dialogue and/or constitutional review	and political consultations on local government, unitary decentralization/federalism		
			Activity 3.1.1: Development of dissemination and communication strategy on local government	Assessment of Local Governance recommendations in National Dialogue (Independent evaluation of National Outcome Document.)	UNDP	\$20,000
			Activity 3.1.2: Preparation of technical options in support of National Dialogue Committee		UNDP	\$20,000
			Activity 3.1.3: Conduct of townhall meetings and outreach on project activities and national dialogue		UNDP MoLA	\$20,000
			Activity 3.1.4: Study tours for senior officials to expose them to comparative international experiences on post-conflict local governance			
			Output 3.2: Support review of legal framework of local government to reflect outcomes of national dialogue and/or constitutional review process		UNDP MoLA	\$120,000





- **Systems for M&E of the project (portfolio):** Based on the Results Framework, briefly describe which systems are in place or need to be established for the monitoring and reporting on results. Formulate an M&E plan (template 7) which determines how the necessary data will be collected, the responsibilities for data analysis and reporting and the proposed approach for systematic use of M&E data for performance assessments and improvements if necessary. Determine the reporting line from fund users to RCO, Management team and PBSO/PBF country desk officer.<sup>13</sup> Also, provide the amount of funds earmarked for the full cost coverage of monitoring, reporting and the final evaluation at the end of PBF funding. It is recommended to allocate at least \$50,000 to 80,000 for M&E related tasks and activities.

The Project Board will oversee the monitoring and evaluation of the Programme. The main objectives of the program's M&E framework are:

- 1) To gain an improved understanding of the activities, including their long-term impact, their contribution to statebuilding and peacebuilding, as well as of the context in which the activities are implemented and their interaction processes;
- 2) To assess progress towards achieving outputs, based on the targets laid out in the results framework;
- 3) To regularly review and update the risk log;
- 4) To ensure the highest standards of accountability and proper use of funds;
- 5) To factor in lessons learned from ongoing initiatives into future programming/allocation decisions to increase the positive impacts of the programme on statebuilding and peacebuilding in the target countries;

The programme will actively pursue cutting edge and innovative approaches to assessment and measurement, including participatory dialogue and perception surveying. In order to do so effectively, the Programme will ensure an external assessment of the work is completed at the mid-term of the project term. Accordingly, a portion of the Programme's budget is allocated specifically to dedicating M&E capacity within the PMU. The Programme will likewise place a major emphasis on developing the capacities of national partners in the area of M&E – and essential aspect of ensuring accountability and sustainability.

In recognition of the systemic challenges evaluating governance programming at country level, the global programme, has presented qualitative baselines in several outcomes. The set of baseline and outcome indicators will be reviewed during the first year of operation, and the programme will present more detailed and robust indicators in the second year. The proposed programme will also expand assessments and collection of baseline data. As several international actors face the same challenge regarding outcome-level M&E, the Global Programme will seek to facilitate coordinated work with all actors in developing indicators for M&E which can be tailored to the particular context and ensure the ownership and capacity building of national authorities in this regard.

In light of the above-mentioned programme management arrangements, the following monitoring benchmarks will apply to the Program.

M&E BENCHMARKS/TIMELINE	2014				2015				2016			
	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
An <b>Issue Log</b> will be updated to facilitate tracking and resolution of potential problems or requests for change.	X	X	X	X	X	X	X	X	X	X		
A <b>Risk Log</b> will be regularly updated by reviewing the external environment that may affect the programme implementation.	X	X	X	X	X	X	X	X	X	X		
A <b>Programme Lessons Learned Log</b> will be activated and regularly updated to ensure on-going learning and adoption within the			X		X		X		X			

<sup>13</sup> See M&E section in PBF Guidelines.



Building on the experience of this work, between 2006 and 2011, UNDP supported a nationally recruited Mobile Team (MT) of specialists who provided technical support and guidance to governorate-based District Facilitation Teams (DFTs) with trained facilitators now present in all Governorates and Districts.<sup>14</sup> DFTs are identified from governorate offices and trained by the mobile team. The DFTs support the work of Core Teams (CTs) recruited from within the Districts, who are responsible for activating district structures through their involvement in public expenditure and asset management and strengthening the relationships between the districts and their communities through the involvement of the latter in participatory planning, implementation, monitoring and evaluation of infrastructure and associated services.

Previous experience of using facilitators in peacebuilding and transitional processes took place in 2011, when DFTs were used as part of the Coordinated Needs Assessment for the Joint Initiative for Sa'adah.

Drawing upon UNDP's comparative advantage and the lessons learned on supporting governance in fragile states, both globally and in Yemen, UNDP is also proposing to support a qualitative and quantitative baseline assessment of the perceptions, stakeholders and structure of Yemen's informal governance systems. This assessment will be used to inform national policy formulation and planning as well as to assist development partners in the design of a program of support for governance extension and reform in Yemen. This assessment will provide a valuable source of baseline information and data to the implementation and monitoring of the PTSP.

## **UNFPA**

UNFPA have prior success in setting up of a mechanism aiming at building women and civil society network to promote democracy in development on the ground. This aforementioned mechanism has two components that complement each other to facilitate voices on the ground lifted to the key actors of the National Dialogue. First component is building the capacity of NGO/Civil Society group that was established to manage data collection on specific issues linked to women. Initially 5 NGOs (CSSW, YWU, All the Girls, YLDF, SOUL) partnered with each other, developed a common manual for data collection (via focused groups) and consolidated the results of these focus group meetings, supported by UNFPA-UNWomen experts. The second component was the formation of a "Community Coalition (CC)" (comprising of all the partner NGO heads and other prominent Yemeni figures). The data collected on the ground were shared to the Community Coalition, where they reviewed, discussed, developed key messages and submitted to the key actors of the National Dialogue.

With such established mechanism, UNFPA conducted a baseline survey in different governorates, including those facing conflicts, on women issues. The 5 NGO met with 4478 females and 704 males, from different social classes, backgrounds and environments, talking about different issues linked to women (political participation, health, education, violence, economic). Over 5,000 voices were captured in identifying some of the key needs they aspired for the transition of the country. These focus group meetings were conducted in Sana'a, Aden, Taiz, Hadhramout, Al-Hodeidah, Thamar, Haja, Lahj, Abyan, 'Amran, Ibb, Sa'adah. Some of these areas have severe security issue but partnering with local NGOs, voices of some of the more vulnerable groups were captured (i.e. – illiterate, tribal, young activist women, etc.). The data collected have been further analysed and published in order to feed into the discussions of the National Dialogue, through messages articulated by the Community Coalition (CC). Thus, the CC has extended its network not only at the national but also at local level and acquired the competences to work in number of governorates, down to the

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<sup>14</sup> The DFTs are recruited by the DLDSP from within the governorate structures and are managed and guided by the MT to provide direct support to pilot districts on institutional development and activation, and capacity development in public expenditure and asset management.

district level, especially in some of the high-risk/tension areas. In addition, the CC was trained on advocacy and communication strategy.

UNFPA has been supporting women issues from various aspects, particularly focusing on reproductive health, which is a major concern in Yemen. In this country the issues of reproductive health represent not only physical health concerns, but also UNFPA is using the NEX (National Execution) modality for implementation through government and through local NGOs. UNFPA have long and successful experience building partnership with national civil society organizations in both development and humanitarian interventions. Each year, more than 70% of the implementing partners are comprised of civil society organizations for UNFPA.

#### **b) Project Management Arrangements and coordination:**

*- Project management and coordination: Identify the oversight structure or mechanism responsible for the effective implementation of the project and for the achievement of expected results. In the absence of any other pre-existing peacebuilding mechanism, it is recommended to set up an inclusive Project Board, representing all the different stakeholders involved in the project, including the Civil Society.<sup>15</sup>*

There is no developed plan for local governance during the transitional period and coordination during the crucial transitional period for local governance and local development remains weak. Nevertheless, Central Government transfers are continuing and initiatives by development partners and the Social Fund for Development continue.

Recognising the current gap in coordination, the coordination and monitoring of the project will be executed through two formal mechanisms.

*Project Board* – A Project Board (PB) or Steering Committee (JSC) will be established to support implementation of the programme. The PB/JSC is the highest authority of the programme responsible for providing policy guidance, direction and decisions when required by Programme Management or the CTA.

The PB will comprise of the following membership:

- United Nations Development Programme Country Director/ Minister of Local Administration (co-chairs)
- Representatives of the development partners contributing to the project-
- Ministry of Planning and International Cooperation - Ministry of Local Administration;
- UNDP, UNFPA

The project board will be expanded as required, through invitation of other partners supportive of the projects outputs. The World Bank and OSASG will be invited to be part of the project board from the beginning. This expanded project board will set the overall policy of the PTSD, and will ensure that the inputs of national and international partners are coordinated with central and sectoral ministries.

The project board will be responsible for ensuring the strategic orientation of the project, approve its work plan, ensure the overall supervision of accomplished results, monitor the project's coherence with other activities of other partners working to support local administration and resolve any major challenge which might impede on obtaining the expected results. A Technical Committee, composed of representatives of lead beneficiaries is responsible for ensuring the coordination and programmatic coherence of the project.

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<sup>15</sup> It is recommended to annex ToRs of the Project Board to the Project.

*Governorate and district working groups* - working with available capacities and offices in each governorate and district, working groups will be established (or existing committee structures used) bringing together government agencies with non-government actors in planning and management mechanisms. The working groups will guarantee the participation of the population, either directly or through representatives, in the definition of local recovery strategies, as well as provides spaces for development and peacebuilding dialogue and consensus.

The programme will be based on Result-Based Programming methodologies, and be implemented through a combination of Direct Implementation Modality (DIM) and National Implementation Modality (NIM).

- The DIM modality will create an enabling environment for seeking and applying innovative solutions and approaches, with some risk-taking and programmatic/operational experimentation, particularly at national level. The DIM modality will provide UNDP with direct control over inputs and resources, and will enhance the delivery of outputs and cost-effective results, while ensuring national ownership and capacity development of national partners.
- The NIM modality will ensure that the programme builds the capacity and ownership of national partners and systems, and avoids creating parallel delivery systems. The NIM modality will use national financial, procurement and human resource systems, reinforced with oversight, technical advisory services and M&E from UNDP.

The team within the Ministry of Local Administration will allow for easy interaction as well as mutual transfer of knowledge and sound project management practices and skills between UNDP and MoLA. In case of any disagreement on the decisions taken by the CTA, MoLA will resolve the same in consultation with UNDP RR. The decision of UNDP RR shall be final.

Appointment (to include termination of contract) of the CTA shall be done by the UNDP in consultation with MoLA, and UNFPA. In case of any disagreement, MoLA will resolve the same in consultation with UNDP RR. The decision of UNDP RR shall be final.

The project will contain resources for regular monitoring, oversight and assistance from the Crisis Governance team of BCPR.

#### **Local Peace and Development Grant Delivery Process**

The selected districts are expected to develop or review their respective district development plans. The development or review is expected to be participatory and have as key objective the attainment of peace and development. The plan should have specific peacebuilding projects and prioritized based upon interface with CSOs and communities. The necessary capacity support will be provided by the DFT based at the respective Governorates to deliver these peace and development focused plans.

Three key documents would be expected to be submitted by the respective districts to the Project Board:

1. Participatory District Development Plans (Supporting document)
2. Corresponding District Budget
3. Specifically prioritized projects focusing on peace and development

The approval of the process will be based upon the satisfaction of **Minimum Criteria** which are:

1. Minimum capacity at the district for planning and project implementation (PEM)
2. Have peacebuilding/ conflict management as a key development objective
3. District relationship with CSOs and preparedness to work with CSO
4. Application of participatory processes and civic engagement in local development decisions and processes, especially women and youth
5. District has basic accountability processes established

The basis of the approval process will be supported by specific technical indicators, which will make it as objective as possible and also set the base for measuring progress and change. The approval will trigger the indication of the grant amount for the respective districts and on that basis;

1. design prioritized peace and development projects
2. develop an annual workplan and a financial plan (Planning alignment starts May and July submit to Governorate. First cycle projects should be negotiated)

The documents will be submitted first to MoLA for endorsement and then subsequently to UNDP for approval. **Letters of Agreement (LOA)** will then be developed to cover the annual activities with the respective districts.

The **first quarter request** for funds will be made to UNDP on supported by the LOA and with a detailed workplan scrutinized and approved by the UNDP PM. The requested quarterly funds will be transferred by UNDP to the respective district account with information to MoLA and MoF.

The prioritized peace and development projects will then go through the procurement process – Project design, Bill of quantities, Tendering, Bidding, Selection, Contract development and awarding (the actual procurement process could be taken up through PWP or SFD while it is used as a coaching process for the district staff). This is followed by the implementation and asset management.

A **second request** for the fund can be made after a quarterly **financial report** on at least 75% of right application of funds for the quarter certified by the Governorate (DFT). After this has been endorsed by MoLA and certified by the UNDP Project Manager, the funds for the next quarter can be released to the district account with information to MoLA and MoF.

It should be noted that MoLA should be able to negotiate for the selected districts so that the implementation of the planning cycle could be reviewed to contain this programme initiative, which ideally may be a few months behind the cycle. Subsequent inceptions would be timed to harmonize with the national planning cycle for the districts.

### **c) Administrative Arrangements**

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 Participating 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)<sup>16</sup>, 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 narrative reports and financial statements (Annual and Final), based on submissions provided to the AA by RUNOS and provide the PBF consolidated progress reports to the donors and the PBSO;

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<sup>16</sup> Available at: <http://www.undg.org/docs/9885/Protocol-on-the-role-of-the-AA,-10.30.2008.doc>

- Proceed with the operational and financial closure of the project in the MPTF Office system once the completion is notified by the RUNO (accompanied by the final narrative report, the final certified financial statement and the balance refund);
- 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:

- Bi-annual progress reports to be provided no later than July 31st;
- Annual narrative progress reports, to be provided no later than three months (31 March) after the end of the calendar year;
- Annual financial statements as of 31 December with respect to the funds disbursed to it from the PBF, to be provided no later than four months (30 April) after the end of the calendar year;
- Final narrative reports, after the completion of the activities in the approved programmatic document, to be provided no later than four months (30 April) of the year following the completion of the activities. The final report will give a summary of results and achievements compared to the goals and objectives of the PBF; and
- Certified final financial statements after the completion of the activities in the approved programmatic document, to be provided no later than six months (30 June) of the year following the completion of the activities.
- Unspent Balance 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>).

## Component 5: Annexes

### Annex A:

#### Donor Mapping in Peacebuilding Strategic Outcome Area/s (including UN agencies) and gap analysis

Peacebuilding Strategic Outcome Area	Key Institution	Key Projects/Activities	Duration of projects/activities	Budget in \$	Estimated gap in \$
Ex. : Security Sector Reform, Defense Sector Reform and Combating Drug Trafficking	1) The Gov of Brazil,	1) Brazil: Police and military academies	1) 2 years : from march 2009 to February 2011	1) 2 Million	1) 300,000
	2) UNIOGBIS + UNDP	2) UNIOGBIS: Technical assistance to police reform and reform of the armed forces; UNDP: Support to SSR National Steering Committee	2) 1 year: from September 2010 to august 2011	2) 4 Million	2) 1 million
	3) EU	3) EU : Rehabilitation of justice infrastructure (courts, BAR Association)	3) 3 years	3) 10 Million	3) 3 million

## Annex B:

### Mapping of UN Recipient Organizations

Please include exhaustive information of annual budgets of each recipient agency (RUNOs) in the targeted outcome area.

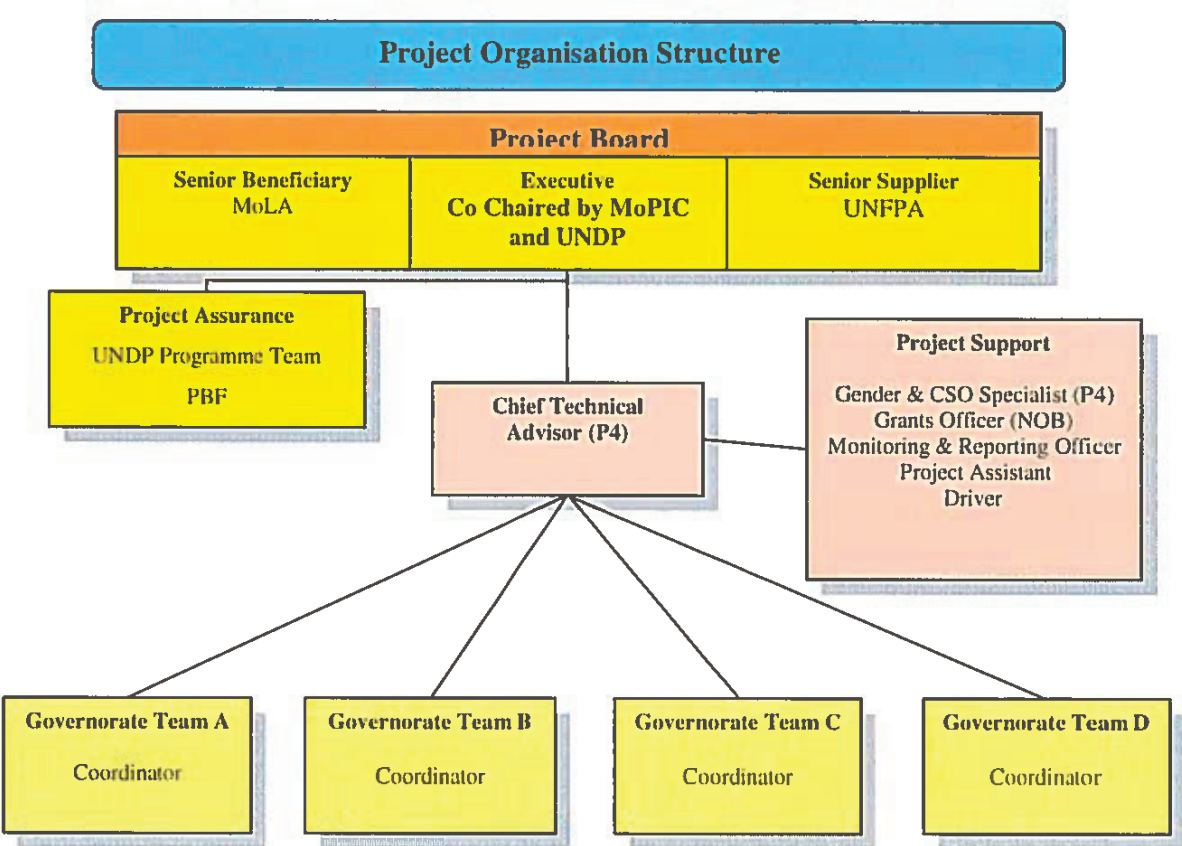
UN Agency	Key Sectors (top five or fewer )	Annual Budget (last year) per Recipient Organization in key sectors <sup>17</sup>	Annual Budget (this year) per Recipient Organization in key sectors <sup>18</sup>	Projection of Annual Budget (next year) per Recipient Organization in key sectors	2012 Annual Delivery Rate (Agency Total)
Ex. 1) UNDP	(1) Strengthening of justice and Security Sector Reform (2) ....	1) 2010-2011: USD 2 Million (SSR)	1) 2012: 3,854,817.00 USD from BCPR Thematic Trust Fund)		2012 budget: US\$ 9.3 m Annual delivery rate: 75%
Ex. 2) UNICEF	1) Basic Education and Gender Equality 2) .....	1) 2010-2011: USD 5 Million	1) 2012: US\$ 3,228,060		Annual budget: US\$11,026,559 Annual delivery rate : 93%
3) UNFPA	1) Reproductive health and maternal health 2) Population and development 3) Gender equality and protection	1) 11 million USD	1) 13 million USD	1) 13 million USD	Annual budget (core only) : \$4 million Annual delivery rate : 97%

<sup>17</sup> If UNDP is one of the Recipient Agencies, specific information shall be included on whether the country is benefiting of BCPR Thematic Trust Fund and if yes, the amounts allocated and the funding gaps need to be specified

<sup>18</sup> If UNDP is one of the Recipient Agencies, specific information shall be included on whether the country is benefiting of BCPR Thematic Trust Fund and if yes, the amounts allocated and the funding gaps need to be specified

**Annex C**

Suggested Organigram to be used for the Project’s Joint Steering Committee or the Project Board.



## ANNEX D

### TARGET TABLE FOR OUTCOME AND OUTPUT INDICATORS OF THE RESULTS FRAMEWORK

*This target table will be used for reporting (see templates 4.2 to 4.5).*

*Using the Programme Results Framework from the Project Document - provide an update on the achievement of indicators at both the outcome and output level in the table below. Where it has not been possible to collect data on indicators, clear explanation should be given explaining why, as well as plans on how and when this data will be collected.*

**This target table will be used for MPTFO reporting**

	Performance Indicators	Indicator Baselines	Planned Indicator Targets	Targets actually achieved
<b>Outcome 1<sup>19</sup></b>	# of local governments with district plans approved, including earmarked budget commitments to sectors that were identified as conflict triggers in an inclusive/ participatory planning process (disaggregated by sector, target groups)	Local development planning is delinked from security and peacebuilding processes, Local Authorities and do not use institutionalized participatory consultative mechanisms	12 district authorities have peace and development plans with earmarked commitments to sectors identified as conflict triggers	
<b>Outcome 2</b>	# of CSOs conducting focus group discussions to sensitize on project decision making	0, the local population (especially women and youth) do not participate to the decisions taken by the LA and do not participate in monitoring the implementation of the LA projects  0, CSO does not participate in local decision process	50% of the selected CSO participate in designing the district plan, development process, with earmarked commitments to sectors identified as conflict triggers  50% of the selected CSOs monitor the project implemented through LA 100% (of the 15% earmarked grants) of CSOs projects are implemented in the field of VAW and women rights to reduce tensions in the local context  6 messages per year targeting decision makers at national level lobbying for gender issues (specially VAW and reproductive health issues)	

<sup>19</sup> Either country relevant (from the Priority Plan or Project Document) or PMP specific.

**Annex E: Project Summary** (to be submitted as a word document to MPTF-Office for upload at the gateway



## **PEACEBUILDING FUND PROJECT SUMMARY**

<b>Project Number &amp; Title:</b>	<b>PBF/ Peace and Transition Support Project</b> (To be completed by UNDP MPTF Office)	
<b>Recipient UN Organization:</b>	UNDP and UNFPA	
<b>Implementing Partner(s):</b>	Ministry of Local Administration and CSOs	
<b>Location:</b>	Sana'a	
<b>Approved Project Budget:</b>	\$7,232,000	
<b>Duration:</b>	<b>Planned Start Date:</b> 01.05.2014	<b>Planned Completion:</b> 31.11.2016
<b>SC Approval Date: (Actual Dates)</b>		
<b>Project Description:</b>	The Peace and Transition Support Project will use country systems at district and governorate level to address the drivers of conflict, signal state commitment to an inclusive social contract and build national capacities to address the triggers of violence in Yemen. The PTSP has been developed by the Working Group for Governance and Elections	
<b>PBF Priority Area:</b>	OYTCOME AREA 1: <i>Strengthened social cohesion at the sub-national and community level increases resilience to conflict</i>	
<b>PBF Outcome:</b>	Local government is seen committed to engage local communities (including women, youth, and civil society) in the formulation of their district plans and in the delivery public services that address potential conflict triggers and promote stability during the transition phase	
<b>Key Project Activities:</b>	A Peace and Transition Support Project will support increasing citizen participation in peace and development planning and policy development, work to rebuild the social contract of marginalized groups, most importantly the youth and women	