



European Commission  
United Nations Development Programme  
**Joint Task Force on Electoral Assistance**



# EC-UNDP Workshop on

**Formulating and Implementing Electoral Assistance Projects in the Context of the  
EC-UNDP Partnership**

## **Reporting**

*Pierre Harzé, Deputy Director, UNDP Brussels and Matthew Keyes, International relations  
officer, European Commission*

*Brussels 1 – 4 February 2011*



## UN/EU Agreements: FAFA

- EC-UN Joint visibility action plan (Sep 2006)
- Reporting Guidelines (revised December 2010)
- Joint Visibility Guidelines for EC-UN actions in the field (April 2008)
- Terms of Reference on Verifications (April 2009)



# *Reporting guidelines – background*

- Feedback from the field**
- Recommendation of the 2008 Evaluation**
- Need to update 2007 guidelines**
- Criticisms of the Court of Auditors**
- Criticisms of the Commission's internal auditor**
- Focus of Parliament on accountability**



# *Reporting guidelines – process*

- Agreed at 2010 FAFA annual Working Group to review**
- Joint Reference Group mandated to do this**
- Joint EU/UN drafting group**
- Guidelines entered into force in December, on schedule**



## Reporting guidelines – key points

- ❑ Adopted December 2010 for trial period – to be endorsed at Working Group in April
  - **Applies Commission wide, with some exceptions for humanitarian aid**
  - **UN and Commission have disseminated these guidelines to the field**
  - **Good reports begin with a well prepared description of the Action, a coherent and clear presentation of the budget and the definition of appropriate indicators**



# *Reporting guidelines – overview*

- Guiding principles**
- Report on results/impact**
- Report on the whole Action**
- One report for all donors**
- Timely reports in line with periodicity requirements**



# *Reporting guidelines – overview*

- Project description/budget phase**
- Description of the Action**
- Structure of the Action's Budget**
- Clear indication of expected results**
- Definition of indicators, timelines, etc.**
- Preparation and updating of workplans**



# *Reporting guidelines – overview*

- Legal framework and purpose**
- UN has a general duty to provide the Commission with all relevant information on the implementation of the Action**
- Reports are necessary for the Commission to comply with its obligation to assess the implementation of Actions financed by the European Union**
- Reports should allow the Commission to compare the outcome of an Action with the initially agreed purpose, on the basis of agreed results focused indicators.**
- Reports are the main tool to progressively measure the degree to which results have been achieved.**



## Reporting guidelines – details

- FAFA – Articles 1, 2, 3 and 7**
- General Conditions of the Standard Contribution Agreement – Article 2**
- Special Conditions – Article 4 (and possibly 7)**



## Project proposal - content

- Already at the design stage think of how you will close it and report upon the Action**
- Present clearly the link between expected deliverables/outputs and inputs/means necessary to arrive at the former**
- Indicators – be SMART (Specific, Measurable, Achievable, Relevant, Time-bound) – you will need to report according to what you set**
- Timeline: you will need a workplan**



## Project proposal – Budget – what format?

- The UN can present the Budget of the Action on ‘its own’ template/format. “The budget structure (Annex 3 of the Contribution Agreement) should reflect the one normally used by the Organisation in its own accounting system. It is not advisable to impose models which do not reflect this structure (for instance, Annex III of the EC Grant Contract may not necessarily match).” EC’s Frequently Asked Questions about IOs (FAQ. 22)**
  
- However, when the UN submits a project proposal under a call for proposal, it must use the format of the Budget for the action included in the documentation set for that call for proposal.**
  
- NB! The structure of the budget for the action will determine the structure of the financial reports**



## General Conditions (Annex 2)

- Article 1 General Obligations**
- Action is carried out in accordance with the Description of the Action set as Annex 1 (legally binding doc. )**
- The International Organisation shall report on the indicators of achievement**
- Sub contracting is possible but...IO signatory sole accountable (no transfer of responsibility)**
- Partners (already identified in Annex I) have to endorse GCs**



## *General Conditions (Annex 2)*

- Article 2 Reporting
- The organisation shall provide the Contracting authority with full information on the implementation of the action**
- Workplan**
- There is no set format/template, but the structure of reports should match Annex I (narrative report) and Annex III (financial report) with the same level of details (minimum required: Art. 2.4)**



## General Conditions (Annex 2)

- Article 2.4 (narrative report shall include at least:)**
- Summary and context of the Action**
- Activities carried out during the reporting period (i.e. directly related to the Action description and activities foreseen in the Agreement)**
- Difficulties encountered and measures taken to overcome problems**
- Changes introduced in implementation**
- Achievements/results by using the indicators included in this Agreement**
- Work plan for the following period including objectives and indicators of achievement.**



## General Conditions (Annex 2)

- Article 2.1, 2.3, 2.7 (financial report)
- Eligible expenditure incurred (At. 14. specifies what is eligible, incurred: effectively disbursed + legally committed)**
- in Euro (Art. 2.7 GC, Art. 4.3 special conditions)**
- Same structure (i.e. wording, set up) as in Annex 3. You can undertake changes, but be aware of your room for manoeuvre (Art. 9)**



## *General Conditions (Annex 2)*

- Article 2 Reporting**
- Same language as the agreement.**
- Progress (N/F) Report: for each request for payment and minimum once a year**
- Final report (N/F) (6 months following the end of the implementation period): should cover the Action /implementation period + visibility + products + information on assets**
- Your duty of information – “any event likely to hamper or delay the implementation of the Action” (2.11)**



## General Conditions (Annex 2)

- ❑ Article 2.6 & 2.9
- ❑ **Respect the deadlines!**
- ❑ **If the Organisation fails to supply a final report [...] and fails to furnish an acceptable written explanation of the reasons why [...] the Contracting Authority may refuse to pay any outstanding amount and recover any amounts unduly paid.**
- ❑ **Furthermore, where [IO] fails to present a progress report [...], the Organisation shall inform the Contracting Authority of the reasons why it is unable to do so, and shall provide a summary of the state of progress of the Action. If the Organisation fails to comply with this obligation, the Contracting Authority may terminate the Agreement in accordance with the first indent of Article 12.2, refuse to pay any outstanding amount and recover any amounts unduly paid.**



## General Conditions

### *Joint EC-UN Reporting Guidelines*

- BE ON TIME**
- BE PRECISE & TO THE POINT**
- BE CONSISTENT (WITHIN AND WITH DESCRIPTION OF ACTION AND BUDGET)**
- REPORT TO ALLOW FOR COMPARISON WITH WHAT WAS AGREED IN THE AGREEMENT**
- REMBER TO REPORT ON VISIBILITY ACTIVITIES**