



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



Implementation modalities:

DEX/DIM vs. NEX/NIM

Basket Fund vs. Multi Donor Trust Fund

ATLAS

Kasia Wawiernia, Deputy Resident Representative/ Operations, UNDP Guinea Bissau

Ricardo Godinho Gomes, Electoral Specialist, Pro PALOP-TL/Joint EC UNDP Task Force on Electoral Assistance

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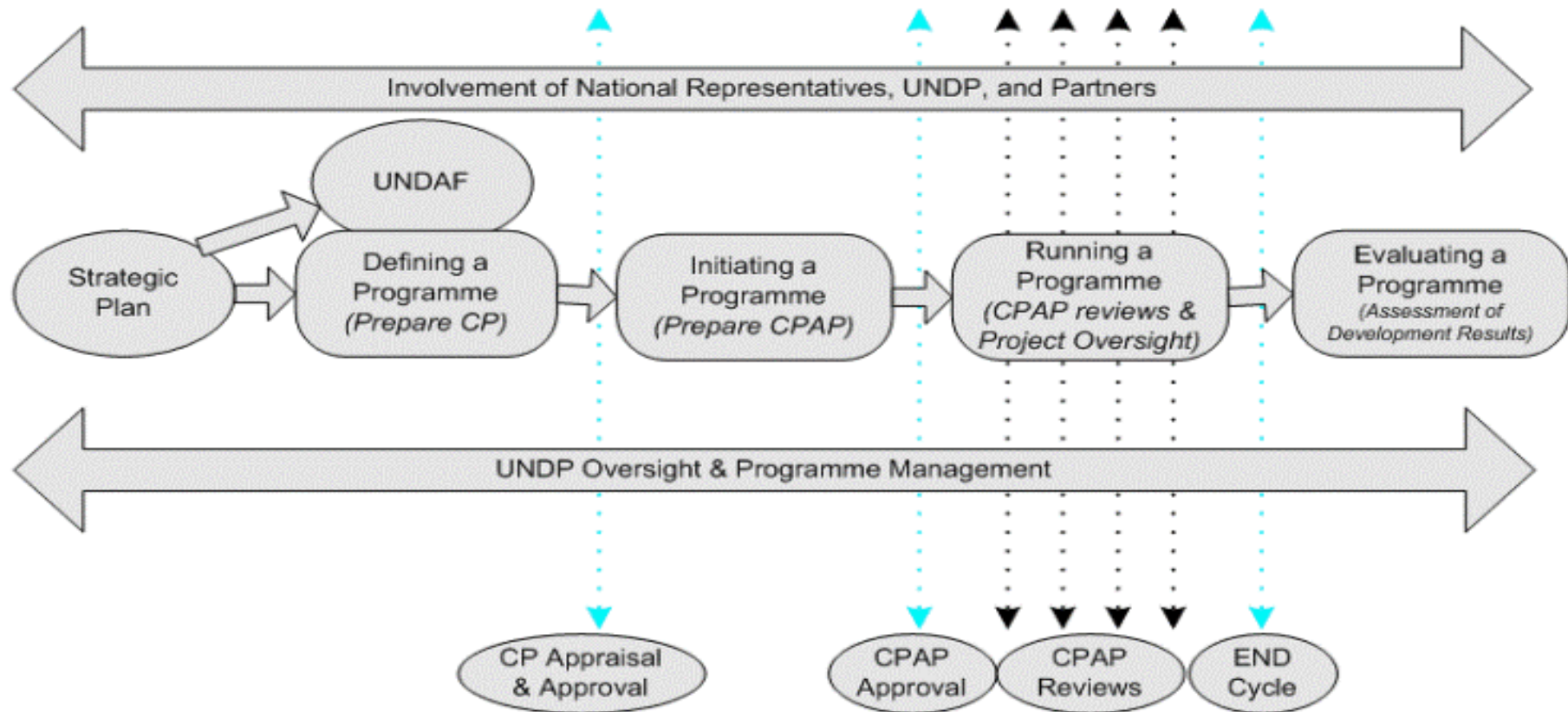


Presentation Structure

- 1. Framing UNDP implementing/executing Modalities**
- 2. Concept definition (NIM/NEX vs DIM/DEX)**
- 3. The Revised Note of Guidance on Electoral Assistance – implementation arrangements**
- 4. Electoral Assistance (EA) Projects under different Implementation Modalities**
 - 1. EA under NIM/NEX – examples**
 - 2. EA under DEX – Guinea Bissau example**
- 5. Funding Mechanisms for EA projects – Cost-sharing Agreements/Trust Funds/Multi Donor Trust Funds/Close Trust Fund**
 - 1. Basket Funds arrangements**
- 6. ATLAS and EA projects – some tips how to make it work better**

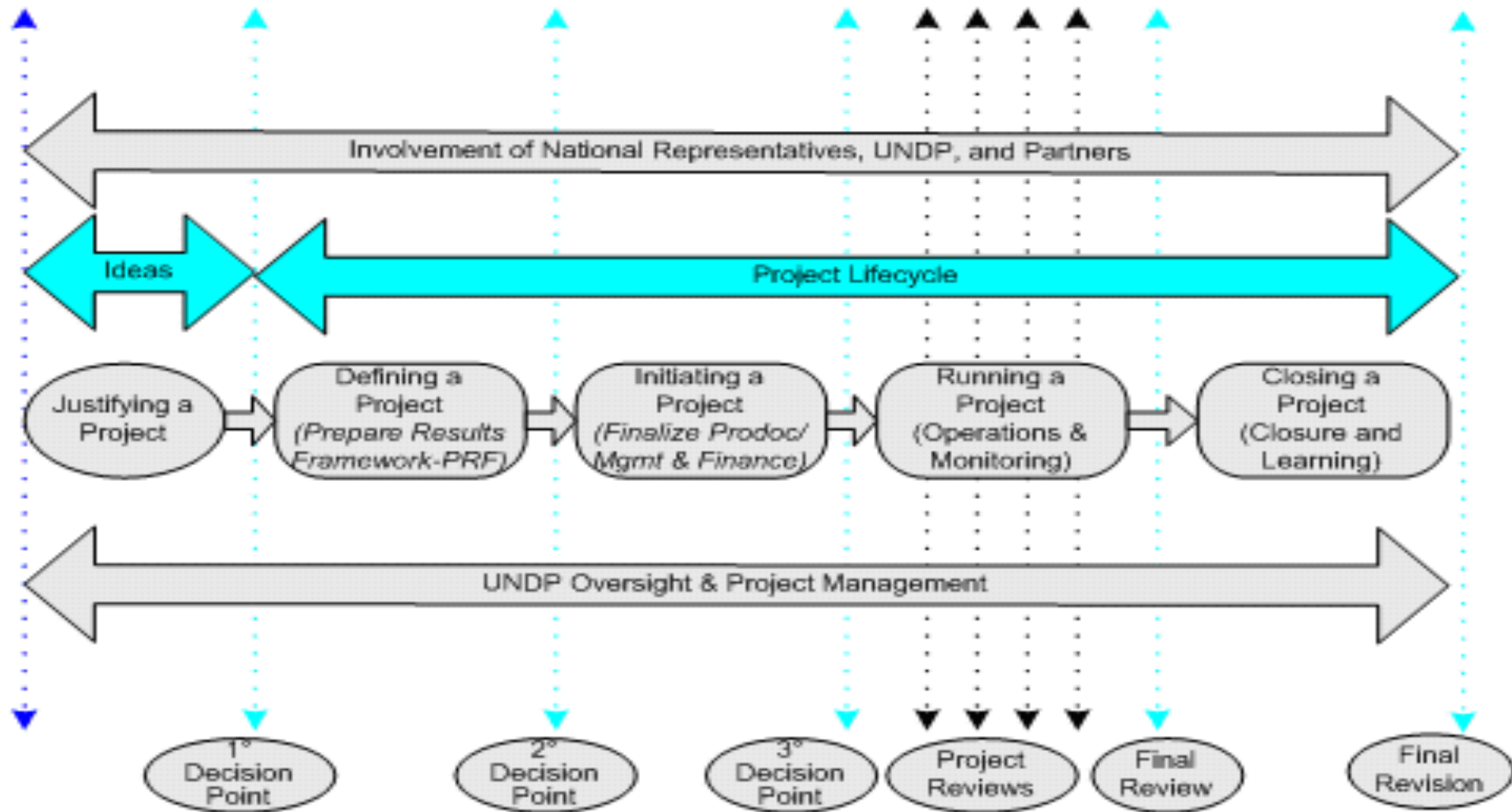


UNDP Country Programming cycle





UNDP Project cycle





Concept Definition: NIM/NEX vs DIM/DEX

Harmonized Countries(Common Country Programming Processes)

Execution

vs

Implementation

'Execution' is redefined as the overall ownership and responsibility for UNDP Programme results at the country level.

Country Programme Action Plan (CPAP)

between Government and UNDP is signed.

All activities falling within the CPAP are, therefore, nationally executed.

'Implementation' is redefined as the management and delivery of UNDP Programme activities to achieve specified results as set forth in the Annual Work Plans (AWPs).

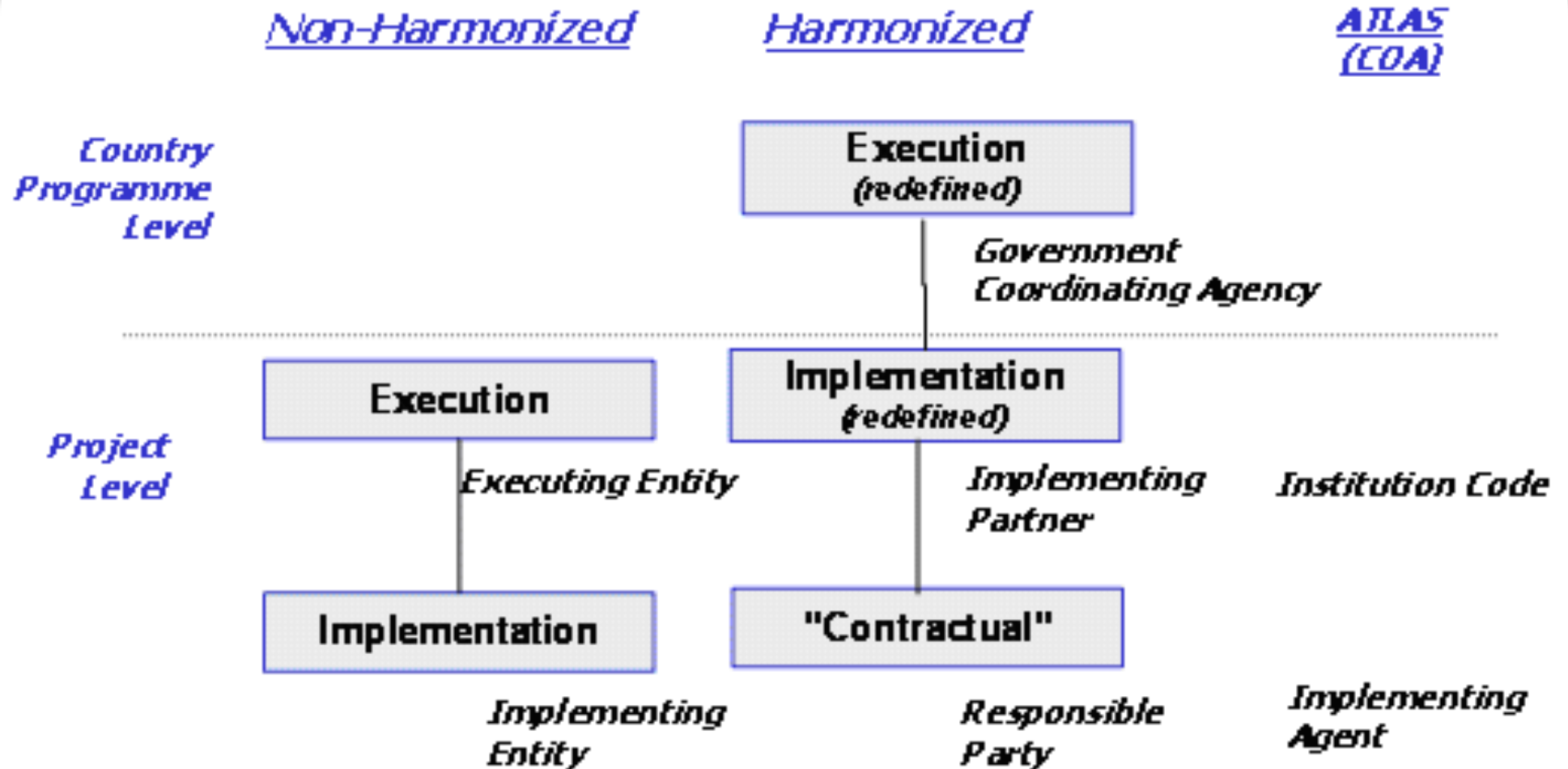
AWP is incorporated by reference to the CPAP and signed by UNDP and the implementing partner.

The CPAP and AWP together constitute the minimum requirements for a project document.

Projects are no longer executed, they are implemented (we should only refer to NIM/DIM)



Concept Definition: NIM/NEX vs DIM/DEX



Projects are executed, therefore we should refer to NEX/DEX modality



Concept Definition: NIM/NEX vs DIM/DEX

***NIM/NEX should be for UNDP the norm
subject to the capacity condition.***

NIM is applied when there is an adequate capacity within the government to carry out functions and activities of the project or the programme.

- *UNDP is responsible for assessing this capacity in the phase of the project or programme formulation.*
- *Government entity is selected as the Implementing Partner*



Concept Definition: NIM/NEX vs DIM/DEX

By **CAPACITY** we mean:

Government rules and procedures are in **accordance with international standards and international practices** (financial rules, procurement, human resources, monitoring & evaluation, technical, legal etc...), which could **ensure full government accountability** for use of UNDP and other international donors resources.

Principals of international standards include:

- **Best value for money**
- **Fairness**
- **Transparency**
- **Integrity**
- **Effective international competition**



Concept Definition: NIM/NEX vs DIM/DEX

DEX should be for UNDP the exception and requires special authorization, is mainly granted in countries in special development situations.

- Speed of delivery and decision-making;
- National authorities lack capacity to carry out the project;
- The project could not be carried out by another UN agency;
- UNDP country office has adequate capacity to manage, report and achieve the expected outputs of the project.



Revised Note of Guidance on Electoral Assistance

Art. 7.i) due to “sensitive nature of the electoral environment, special caution should be exercised in national execution/ implementation of electoral assistance projects.”

Need for full consultation with DPA, UNDP RB, UNDP/BDP

Assessment reveals sufficient capacity & impartiality of the executing agent

In electoral assistance it is almost a default DEX execution/DIM implementation by UNDP



Revised Note of Guidance on Electoral Assistance

Why Electoral Assistance modality is usually implemented by UNDP as DEX modality

- Politically sensitive nature (neutrality of UN)
- Experience of UNDP in pooling resources and donor coordination
- Access to knowledge international networks, specialized technical expertise in elections



Revised Note of Guidance on Electoral Assistance

Why Electoral Assistance modality is usually implemented by UNDP as DEX modality

- Access to corporate rosters of experts
- Monitoring and evaluation/Reporting capacity
- Logistics capacity
- Some limitations of National Electoral Commissions due a electoral punctual approach



EA projects under NEX/NIM - examples

EA projects can also be implemented through NIM/NEX modalities

Mozambique – Global Programme for Electoral Cycle Support (GPECS)

Cabo Verde – GPECS

Kenya – Support to Electoral Reforms and Electoral Processes in Kenya



EA Projects under DEX/DIM

DEX needs Implementing Agent/Responsible Party!!!

UNDP during the formulation of the project would prepare mapping of capacities of all the partners, identifying strengths and divide project activities accordingly for **creating the most advantageous combination of implementation strengths.**

STANDARD LETTER OF AGREEMENT
BETWEEN
THE UNITED NATIONS DEVELOPMENT PROGRAMME
AND
[(a) A GOVERNMENT MINISTRY/INSTITUTION or (b) A UNITED NATIONS AGENCY]
ON THE IMPLEMENTATION OF [NAME OF UNDP PROGRAMME PROJECT]
WHEN UNDP SERVES AS EXECUTING ENTITY

HOW TO USE THIS LETTER

- This Letter is used when (a) a Government ministry/institution or (b) a UN agency cooperates with UNDP to carry out activities when UNDP serves as an executing entity. Such direct execution by UNDP is permitted only in exceptional circumstances based on Executive Board Decision 98.2 (see para. 8(g)), UNDP Financial Rule 117.03 and Regulation 17.05.
- UNDP, as executing entity, prepares this Letter in consultation with (a) the Government ministry/institution or (b) the UN agency concerned (the signatories to the Letter of Agreement).
- Pursuant to Financial Rule 117.03, UNDP has to ensure that in directly executing the project programme mentioned in this Letter, the policies and procedures governing the use of resources by UNDP under Chapter F of its Financial Regulations and Rules shall be applicable.
- After signature, UNDP keeps one original and provides (a) the Government ministry/institution or (b) UN agency with a copy, and the latter keeps the other original.

Your Excellency,

1. Reference is made to the consultations between officials of the United Nations Development Programme (hereinafter referred to as "UNDP") in [the name of programme country] and officials of [(a) name of Government ministry/institution] (hereinafter referred to as the "Government institution") or [(b) name of United Nations agency] (hereinafter referred to as the "UN agency") with respect to the provision of services by [(a) the Government institution] or [(b) the UN agency] in the implementation of the programme project [number and title of

The Project activities will be entrusted to implementing agents/responsible party (NEC, CSO, Ministry of Planning, private companies, etc.) **through standard UNDP agreements (MoU)** for DEX modality.



EA projects under DEX/DIM – Guinea Bissau example



The case of Guinea Bissau:

Collaboration between UNDP and Implementing Partners (Responsible Party)



UNDP

- electoral procurement
- high volume procurement (fuel)
- recruitments of electoral experts (CTA, logistics, civic education, finance)
- Project capacity development activities

Electoral Commission

- Rental of transport (and drivers) and non permanent locations at regional level
- Payment of civic education non permanent field personnel
- Payment of services from recurrent budget



EA projects under DEX/DIM – Guinea Bissau example



The case of Guinea Bissau:

Collaboration between UNDP and Implementing Partners (Responsible Party)



Technical Cabinet to Support Electoral Processes (GTAPE)

- Rental of transport
- Payment of food daily rations for non permanent field personnel

National Statistics Institute (INEC)

- Subsidies to Technical Staff



EA projects under DEX/DIM – Guinea Bissau example



The case of Guinea Bissau:

Collaboration between UNDP and Implementing Partners (Responsible Party)



In practice

(for the whole period including pre & post election event)

- Presence of PMU in CNE premises
- *Finance officer controls every transfer with respective justification documents/ dossiers*
- *Confirmation of payments to vendors through receipts*
- *Ensure that the partner respect agreement by providing auditing or financial statements all certified!*

➤ *Oversight your national implementing partners!*



EA projects under DEX/DIM

Responsibility of Implementing Partners

Implementing Partners have responsibilities even if overall responsibility for the Project stays with the Executing Agency UNDP!



EA projects under DEX/DIM

In accordance with the Agreement between UNDP and Partners

Implementing Partner shall submit **progress reports** relating to the project as may reasonably be required by the project coordinator in the exercise of his or her duties.

Implementing Partner shall submit annually to UNDP **audited or certified statement of accounts** showing the status of the funds provided to it by UNDP.

Implementing Partner shall provide UNDP with an **annual report of non-expendable equipment purchased** by Implementing Partner for the project. The report shall be submitted within 30 days after the end of the year, and shall be included by UNDP in the main inventory for the project.

Implementing Partner shall furnish a **final report** after the completion or termination of the project, including all relevant audited or certified financial statements and records related to such project.



Funding Mechanisms for EA projects

Types of arrangements with donors supporting Programmes and Projects

| Cost Sharing Agreements | Trust Funds | Multi Donor Trust Funds | EU funded UNDP closed Trust Fund |
|--|--|---|--|
| Fast funding mechanism | Timely UNDP mechanism | Broader trust fund UN mechanism, delivering as one | Funding Mechanism for EU-UNDP SCA |
| separate agreements are signed with the donors which can earmark their contributions | a separate entity of co financing of many donors which contribute funds towards ToR issued for specific trust fund | not often used for financing elections because it requires time and follows different levels of approvals (national and UN approvals) | Standard EU/EC Agreements which conform to FAFA and UNDP rules & regulations needs to be cleared by UNDP Brussels Office |



Funding Mechanisms for EA projects

Basket Funds arrangements

Advantageous arrangement (earmarking discouraged)

It can be legally done through separate cost sharing agreements and additional MoU between all participants

Pool of the different funding mechanisms

One report to all the partners of the Basket Fund



ATLAS and EA projects – how to make it work better

Elections budget

Project budget

Atlas budget

Programme management

Operations – HR, Procurement and finance

PMU experts

Atlas reporting

Donor reporting (...)

Project cycle

Atlas budget cycle

Electoral calendar

Electoral cycle

Corrections (Donor adjustments)

Pre-financing

Override

Cash flow management and plan

cost recovery

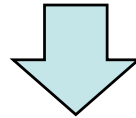


Delivery: try to be there on time



UNDP Implementation/how to deliver fast!!!

Verify if Fast Track Policies and Procedures can be activated by RR with support from RB under the criteria for “Strategic and Time – Critical”



Formulate Project Documentation in line with this goal and justification



Delivery: try to be there on time



Fast Track Procedure provisions

Automatic Delegation of Authority

- **Procurement authority**
 - From \$100 000 to \$300 000
 - From \$300 000 to \$500 000
 - From \$500 000 to \$1000 000
- **Recruitment for 5 TA contracts without competitive process (within 90 calendar days)**
- **Authority to use Direct Execution**
- **Automatic use of other UN Agency's LTA permitted for procurement**
- **"Delivery time" may be included as a key driver for best-value-for-money**
- **Use of flexible ITB/RFP to facilitate 5 days procurement process**
- **Waiver of ACP review for receiving less than 3 offers in competitive process above 30 000USD. (CAP sufficient)**
- **Special, accelerated attention of ACP**
- **Low-value shopping threshold increases from \$2,500 to \$5,000**
- **Direct recruitment of national staff of other agencies who may be phasing down their presence**



Delivery: try to be there on time



Project Document formulation

