



European Commission United Nations Development Programme International IDEA

***Joint Training on
Effective Electoral Assistance***

DAY 4

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EC-UNDP Operational Guidelines and UNDP Support to EUEOM

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Joint Training on
Effective Electoral Assistance
Day 4



Presentation

The EU and UN



The Implementation of the and EC-UNDP Partnership



Characteristics



Operational Background



UNDP Support to EUEOM



Conclusions and Discussions



Methodology, Sources and Material

- ❑ **45 minutes Interactive discussions and working group**
- ❑ **Importance of your input for future training and review of guidelines**
- ❑ **CD ROM Annexes in the EC Methodological Guide on Electoral Assistance**
- ❑ **Training Manual Pages 101-107**
- ❑ **UNDP Electoral Assistance Implementation Guide pages 103-111**
- ❑ **UNDP Electoral Assistance Implementation Guide pages 93-103 (UNDP Support to EUEOMs**
- ❑ **www.ec-undp-electoralassistance.org**



European Commission United Nations Development Programme

Partnership on Electoral Assistance



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The EC-UNDP partnership in electoral assistance is unique for its scope, for its achievements and ambitions. It builds on a history of sector experience, specific attention to the lessons learned in previous projects and a mutual understanding of each other's approaches, roles and capacities.

The partnership is proving to be of increasing value to electoral assistance operations to the beneficiary countries, as it allows to rationalize interventions in the area and leads to better and timelier formulation, implementation and monitoring of projects, and is in line with the concepts of enhanced donor coordination from the **March 2005 Paris Declaration on Aid Effectiveness**. The resulting projects are consequently more effective, sustainable and in harmony with overall EU and UN objectives.

The EC and UNDP have been collaborating in the field of electoral assistance since 1997 but it is since 2004, with the implementation of the project in support of the electoral processes in the Democratic Republic of Congo that the collaboration was strongly intensified, leading to the signature, in 2006, of the "**Operational Guidelines for the Implementation of Electoral Assistance Programmes and Projects**".

The EC-UNDP partnership in electoral assistance relies heavily on the strong cooperation between services at the level of headquarters for the quality support mechanisms available. These can include, through a **Joint Task Force**, formulation and monitoring missions, support for the selection of experts and procurement of election material, joint trainings, development of guidelines, gathering of lessons learned and participation to specialized electoral networks.



Download here the main two reference-tools for the formulation and implementation of Electoral Assistance Projects of the EC and UNDP.





The UN and the EU

- ❑ The EU and the UN are natural partners. They are united by the core values laid out in the 1945 Charter of the UN, and the 1948 Universal Declaration of Human Rights.
- ❑ Member States and the EC are the largest contributors to the UN system. A total of 1.3 billion euros was approved by the EC to be channelled to the UN in 2006.
- ❑ 2001 EC's communication: "Building an effective partnership with the UN", and 2003 EC's Communication: "EU-UN relations: The choice of multilateralism".
- ❑ To facilitate programmatic cooperation between the EC and the UN, an updated [Financial and Administrative Framework Agreement \(FAFA\)](#) was agreed in 2003.



The UN and the EU

- The FAFA agreement provides a single shared legal, financial and administrative framework for all programmatic cooperation between the EC and the UN.
- FAFA has made cooperation more efficient, ensuring faster start-up of activities and ensuring administrative consistency across operations.
- In June 2004, the UNDP and the EC entered into a Strategic Partnership Agreement (SPA) through the signature of a MoU to set out and better define the relational focus between the two institutions.
- The MoU focuses on governance (including elections, parliament and governance indicators), conflict prevention and post conflict reconstruction



UNDP Preferred EC Partner

- Facilitation role of the FAFA signed on 2003**
- Joint and co-financed intervention of the community of donors is very appropriate to support electoral processes**
- Mandate under UN General Assembly resolution 46/137 of 1991 to coordinate electoral assistance at country level between national and international actors**
- Long Experience in Electoral Assistance, producing electoral assistance content,**
- Provision of electoral experts via the Electoral Assistance Division of the UN Department of Political Affairs**
- Pre financing deals once the Contribution Agreements are signed**
- Lower Costs: 7% of General Management Services**



EC/UNDP partnership

Operational Guidelines on El. Assistance

A marriage?

- **2 partners**
- **Written consentment**
- **Trust**
- **Commitment, common project**

- **Not based on love...**
- **Not an exclusive relation...**



EC/UNDP partnership

Operational Guidelines on El. Assistance

A business deal?

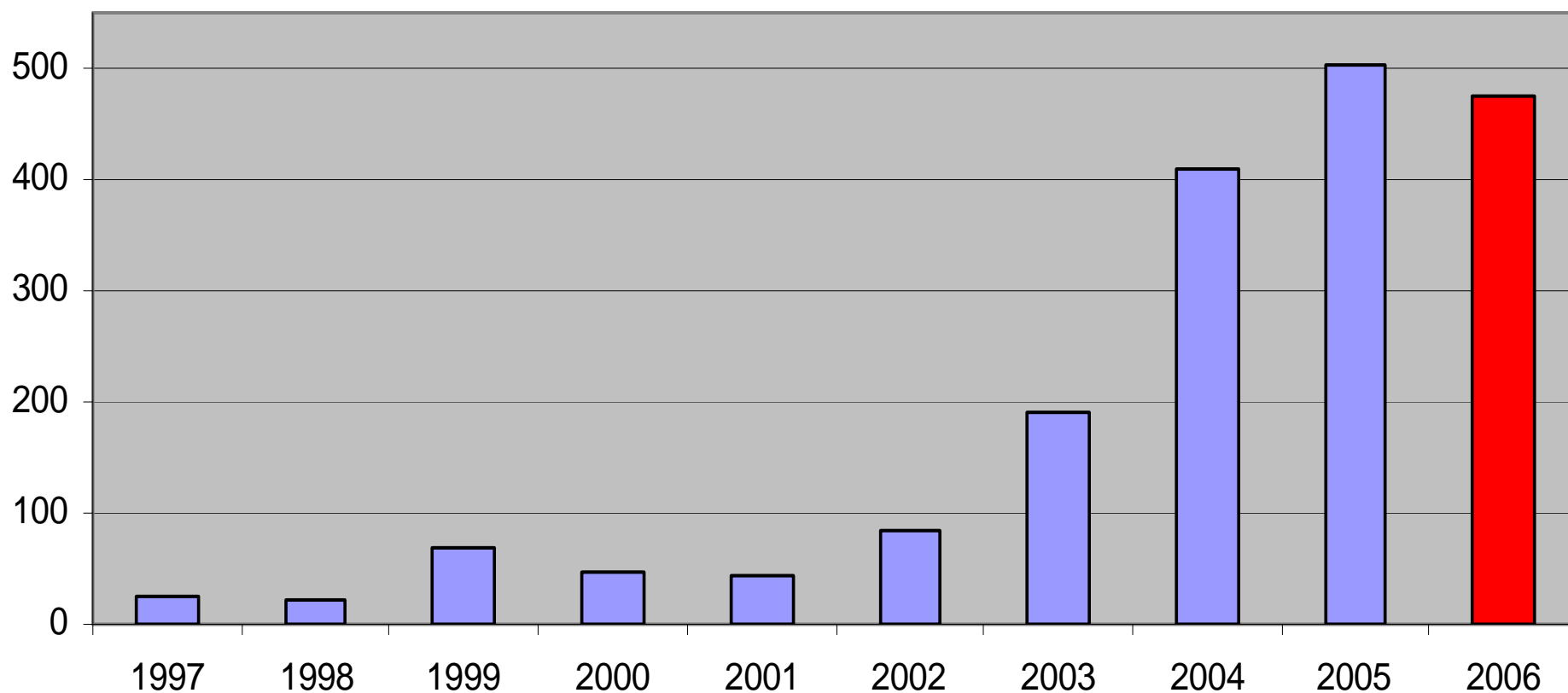
- **2 parties**
- **Written agreement**
- **Aiming for improved effectiveness**
- **Financing issues involved**

- **Not comfortable with this terminology**
EC – banker /UNDP – service provider ...



Total Values EC-UNDP contracts

EC Contribution to UNDP 1997-2006 (in MEUR)

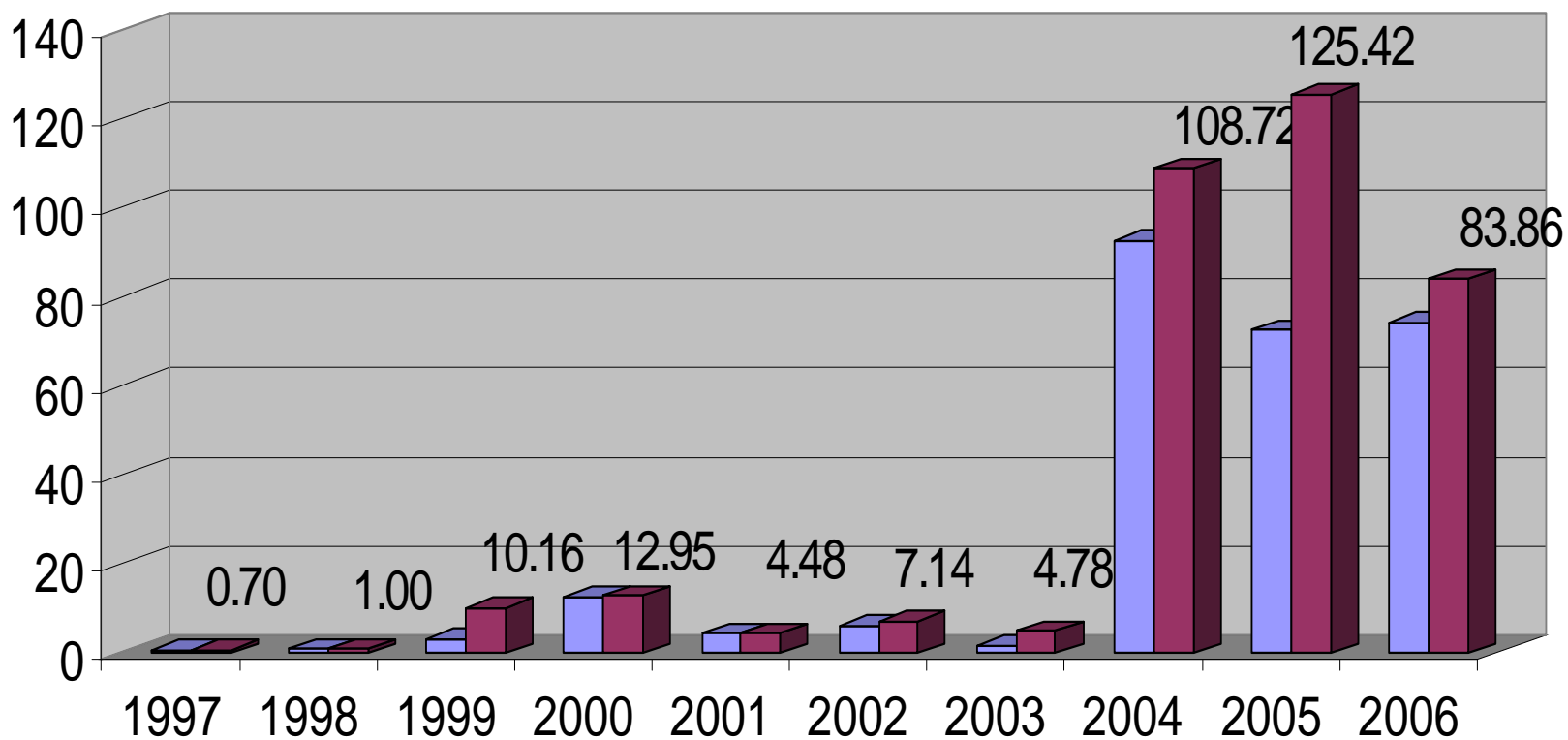




EC-UNDP Collaborations in Electoral Assistance 1997-2006

EC contribution to Electoral Assistance projects implemented by UNDP [in MEUR]

■ ACP countries ■ total amount





EC/UNDP partnership

Operational Guidelines on El. Assistance

A strategic alliance?

“Formal relationship formed between 2 or more parties, to pursue a set of agreed upon goals, while remaining independent organisations. The alliance is a collaboration or a cooperation which aims for a synergy.”



EC/UNDP partnership

Operational Guidelines on El. Assistance

Why now?

- **Ongoing *de facto* relationship on the ground**
- **Paris Declaration on Aid effectiveness**
- **Conjunction of institutional aspects – good understanding between services**
- **Shared strategy on electoral assistance**



EC/UNDP partnership

Operational Guidelines on El. Assistance

Aim

- **To clarify, tighten up and improve EC collaboration on electoral assistance ...**
- **... better and more timely planning, formulation and implementation of activities ...**
- **... promote the effectiveness of EA initiatives**

NB – EC/UNDP partnership not imposed.

Op.Guidelines are to be used when EC and UNDP choose to work together in EA



Definitions of Effective Electoral Assistance

- ❑ **Electoral Assistance is the Legal, technical and logistic support provided to electoral laws, processes and institutions.**
- ❑ **By “Effective Electoral Assistance” we mean all the initiatives and activities that are intended to improve the quality and impact of electoral assistance to partner country electoral institutions**
- ❑ **Part of the wider democratic development of the partner country, in accordance with the five key principles of “ownership, alignment, harmonisation, managing for results, and mutual accountability” that inform the 2005 Paris Declaration on Aid Effectiveness.**
- ❑ **Management of all the complex set of interactions among Government, EMBs, International Organizations, Political Parties, CSOs, Services Providers and Media**



UNDP preferred EC partner in the last three years

"Pool fund management through UNDP has enabled the EC over the last five years, to provide a very significant contribution to the conduct of democratic elections and democratic development in general".

"However, the great majority of these contributions were formulated and agreed upon in great rush and directed to support events and not processes".

"The time constraints that have typically characterized the EC-UNDP cooperation in electoral assistance to date sometimes caused misunderstanding at the field implementation level, generally related to limited visibility of the EC contribution or to a lack of political say of the EC in the decision-making process of electoral activities".

"The different language and definition is used by the two organizations in the respective project proposals has often been the source of such incomprehension".



Before the Guidelines...

- 20 months of review of our collaborations on Electoral Assistance**
- DRC main source of lessons learned**
- 4 joint formulation missions**
- 12 joint projects**
- Negotiate & Formalize at HQ level the “de facto” partnership the EC has with UNDP in the field when implementing projects**
- Accelerated and cost effective procurement services for electoral supplies based on Medium Term Agreements via IAPSO**
- Support and Participation to global knowledge tools and global initiative**



EC – UNDP Operational Guidelines Signed on 21.04.2006 in Brussels

- Joint Formulation Missions**
- UNDP Project Document and EC Financial Proposal**
- UNDP Pre-financing and EC retroactivity clause**
- EC Participation in the steering of the Projects**
- Selection of Experts**
- Agreed Performance Indicators**
- Agreed Reporting Requirements**
- Procurement of Specific Election Material**
- Collaboration on Production of Electoral Assistance Content**
- Collaboration on Training and Practice Meetings**



18 months later...



- ❑ **Three joint trainings, ACE, global training platform**
- ❑ **More than 10 joint formulation missions and projects**
- ❑ **Two follow-up missions**
- ❑ **1st year review being finalized**
- ❑ **Further concentration on the articles of the operational guidelines**
- ❑ **Same issues to be confronted**
- ❑ **Different Nature, Different Mandate, Different Way of Working**
- ❑ **Attitude of Beneficiary Country**
- ❑ **Nature of Electoral Assistance**



Joint Task Force

- Decision to strengthen the quality support mechanisms available at HQ levels**
- Aim at increasing the overall efficiency and adherence to the projects at the common EU/UN approaches of the electoral cycle jointly developed. See report of the SG**
- Coordinated from Brussels within the premises of the UN/UNDP Brussels Office**
- EC-UNDP Staff and advisors from Brussels, New York and Copenhagen**
- Focus on Identification, Formulation, implementation support and monitoring of all the EC-UNDP projects whenever demanded from EC Delegations and/or UNDP Country Offices**
- Pool of Part Time Expert**
- Lessons learned feed in to joint training and ACE**



Project Documentation and Budget

- Must be conversant and have the same activities agreed with the National Authorities**
- A budget need to be agreed jointly between EC, other donors, UNDP and local authorities**



Others Important Points

- **Retroactive Clause (page 105)**
- **UNDP Financial and Technical Input for Preparatory Activities**
- EC participation in the steering and monitoring of the projects and Visibility issue**
- Procurement of Specific Electoral Material**



EC UNDP Partnership

- The Annex 1 of the Contribution Agreement must reflect the PRODOC**
- Implementation is dictated by the Contribution Agreement and by the possible MOU, if we are in a multi-donor situation. The FAFA is reflected in Annex 2 (General Conditions) but any special arrangements which go outside the FAFA can be mentioned in the Special Conditions.**



Key issues to be aware of when implementing EC funds:

- Multi-donor arrangements mean that the EC can not earmark funds and generally facilitate implementation modalities**
- Exchange losses are our problem, not the EC's**
- Procurement or expenditure not foreseen in the original budget will not be reimbursed. If there is a valid reason for changing procurement items in terms of type or quantity then an addendum must be requested prior to expenditure**



Key issues to be aware of when implementing EC funds:

- GMS is a maximum 7% and we must work to real costs.**
- Respecting the reporting deadlines of the contract are essential when working with the EC. The financial report must follow the format of the original budget, not Atlas.**



Key issues to be aware of when implementing EC funds:

The EC attaches great importance to **Technical and Steering Committees**. In this way it retains some control and visibility over the project. The EC is not just a bank but a donor partner with substantive inputs to provide



Key issues to be aware of when implementing EC funds:

- The EC attaches great importance to **VISIBILITY**. There is more pressure on EC than on any other donor to show what it is doing with EU tax payers' money.
- There will be a forthcoming EC-UN Visibility Action Plan which will provide guidance on this matter.



EC Agreements

Financial and Administrative Framework Agreement (FAFA)

The Framework Agreement signed in April 2003 removes the technical obstacles of competing financial and administrative procedures of both organizations in the area of funding for development and humanitarian assistance programmes

Some of the key areas covered:

- Administrative Overheads
- Procurement rules
- Fees and per diem scales
- Monitoring and Evaluation modalities



Putting together an EC Contract

CONTRACT

Narrative / Terms of Reference

Context / Background
Justification
General objective
Specific objectives
Activities / Tasks
Expected Outputs
Required Inputs
Management Structure /
Partners
Monitoring and Evaluation
Reporting
Timeline
Budget

Budget

Personnel (International/local)
Expertise
Per diems
Transport
Office Costs
Procurement
Overheads

Standard legal annexes such as Special and General Conditions

Sets out all key
legal and financial parametres
Of the intervention



Programme Management Unit

- Although PMU is still under the CO authority, it is important to have a specific Unit dealing with such a complex assignment.**
- The PMU is usually found inside the local ECB so as to be able to better follow up on the development of the electoral assistance assignment.**
- The presence of the PMU inside the EMB also allows for the capacity building element to the electoral assistance**



Securing External Expertise

- Hiring the right expertise in the shortest time possible is one of the main keys to success.**
- UNDP often makes the mistake of working too sequentially leading to time compression issues.**
- The consultative element of passing CVs through EAD is now resolved.**



MOUs

- Allow to concretise the responsibilities of the different protagonists involved: Government, local EMB, UNDP and the development partners.**
- UNDP needs to ensure that all signatories accept the content. The content is largely based on the Operational Guidelines and we now have several precedents.**



EU EOM Characteristics

- Not a partnership; independent mission
- No political or visible role
- Pure logistical support
- High EU priority; particularly supported by the Parliament as well as EC
- EU chooses a priority list of countries at the start of the year
- These will be confirmed by exploratory missions throughout the year



EU Election Observation Missions and UNDP





EU EOM Characteristics

Difficulties encountered:

- Clash with UNDP's usual role and mandate as well as conflict of interest
- Short timing
- Significant pre-financing required
- Further administrative burden on the Country Offices
- Difficult missions to close
- Often clash of characters due to high pressure situations
- Difficult contracts to clear in UNDP HQ



EU EOM

Why do them?:

- For the democratic cause
- For the good of the global EC-UNDP partnership
- In order to show the EC Delegation how UNDP can perform and perhaps jump start some further collaboration
- For the overheads? Not really





EU EOMs



The improved relationship:

- Greater corporate experience and lessons learned
- Permanent small team of experts ready for deployment
- Better understanding between EC and UNDP on mutual constraints and expectations
- Better cooperation between EC and UNDP on how to handle the Core Team