

UNITED NATIONS DEVELOPMENT PROGRAMME  
Project of the Friends of Great Lakes Region  
Annual Work Plan

Title: Support to Preparation of the International Conference of the Great Lakes region

Implementing agency: UNDP, Kenya Country Office and the Secretariat of the International Conference on the Great Lakes region

Collaborating Parties: Friends of the Great Lakes region, Secretariat of the ICGLR i.e. the Office of the Special Representative of the Secretary General in the Great Lakes, National Preparation Committees, UNDP Tanzania, UNDP Zambia, UNDP Rwanda, UNDP Burundi, UNDP DR Congo, UNDP Uganda, NGOs and CBOs

Budget (in US\$)		
UNDP Kenya	2004	25,000
Other UNDP		tbd
UNDP Total		25,000
Others:		
Friends of Great Lakes Region	2004	Tbd (10,000,000)
Total Others	2004	(10,000,000)

Estimated Start Date and Project Duration: 1 January 2004 – 30 June 2005

**Narrative**

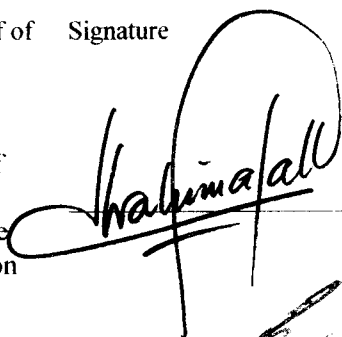
i) The long term outcome which this project aims to contribute to is peace, security, democracy and development in the Great Lakes region. ii) The project will support five main immediate outputs to produce this goal: a) Increased dialogue on peace, security, democracy and development in the Great Lakes Region at highest Government level, b) Increased dialogue on peace, security, democracy and development in the Great Lakes region at country and regional level, c) Increased capacity of the Secretariat of the ICGLR, d) Increased capacity of the National Preparatory Committees and other national implementing institutions e) Enhanced information sharing among stakeholders. iii) The activities required to produce these outputs include support to two summits of Heads of State, Ministerial meetings, workshops and meetings at country and regional level for preparation of the ICGLR, support to the Secretariat of the ICGLR and establishment and management of a website for information sharing. These activities will all be carried out in both regional and national fora upon approval of the Friends of the Great Lakes. The programming support will mainly be provided by the Secretariat of the ICGLR and National Coordination Committees in each of the core countries, whereas the financial support will be provided through a Multidonor/Trust Fund managed by UNDP, Kenya.

Approved on behalf of      Signature

Date

Name/Title

The Secretariat of  
the International  
Conference on the  
Great Lakes region



14-04-04

Ibrahim FALL/Special Representative  
of the UN Secretary-General for the  
Great Lakes Region

UNDP



## I - Background

The Great Lakes region has long been plagued by violent conflicts. Conflicts in any one of the states of the region tend not to remain self-contained and are prone to develop strong regional dimensions.

Since 2000, the Security Council (S/RES/1291 - 24 February 2000) has reaffirmed, in several Resolutions, the importance of holding, at the appropriate time, an international conference on peace, security, democracy and development in the Great Lakes region under the auspices of the UN and the African Union, with the participation of all the Governments of the region and all others concerned.

In June 2003, under the auspices of the UN and the African Union, the countries that make up the Great Lakes region held the first meeting on the International Conference on the Great Lakes Region (ICGLR). The conference will cover four major themes: peace and security; democracy and good governance; development and economic integration; and social and humanitarian issues. This is not a one-time activity, but rather a process that will involve numerous initiatives, projects and agreements connecting each country to a solid regional community.

To enhance the possibilities of success of the process, technical and financial assistance is needed. The Group of Friends of the Great Lakes Region of Africa has pledged to provide such support to the countries in the region, which will continue to manage the conference and have control over the results.

Following the first meeting of National Coordinators of the countries of the ICGLR, the need for a transparent, efficient, cost-effective, and decentralized funding system to support the preparatory processes at regional and country level for the upcoming ICGLR was highlighted. Canada convened a meeting in Geneva on December 4, 2003 where the Group of Friends of the Great Lakes Region was created to provide political, technical and financial support to the Conference. At a follow up meeting of the National Coordinators of the countries of the ICGLR which took place in Nairobi on 19 December 2003, the Group of Friends of the Great Lakes Region, co-chaired by Canada and the Netherlands, have discussed and have been exploring possible funding mechanisms.

## II - Project Implementation Strategy

Given the need for a coherent and consistent approach from the international community towards the ICGLR, the two co-chairs of the GoF, have after consultation with the members decided to establish a Multidonor/Trust Fund as a mechanism to streamline and harmonize the collective financial and technical assistance in support of the ICGLR. The Multidonor/Trust Fund will focus on support to national and regional proposals in support of the Conference, both in its preparation and its implementation process. UNDP has been chosen as financial manager of the Multidonor/Trust Fund and will also be a partner for the GoF.

The GoF and UNDP have agreed on the terms of operation which have been codified in a Memorandum of Understanding between the co-chairs of the GoF and UNDP. Based on the MOU, this Project Document shall describe the practical financial management arrangement and the process of appraising proposals involving UNDP Country Offices in the core countries, the Secretariat of the ICGLR and the National Preparatory Committees.

The project will become effective upon signature of the MOU by the parties, which will comprise the UNDP Kenya Country Office and the Group of Friends of the Great Lakes through its two co-chairs, as it has legal status/recognition.

In accordance with the MOU a Technical Assistance Team (TAT) will be established. The TAT will receive applications for funding, appraise them and make recommendations to the Netherlands co-chair who will submit them to the BoT. The BoT will take the final decision based on a 2/3 majority. Positive decisions will be submitted to UNDP, Kenya for appropriate disbursement of funds.

UNDP, Kenya will be informed by members of the GoF of any other contributions that may be made to support the ICGLR and not made through the Multidonor/Trust Fund. UNDP, Kenya will be the repository of the list of such contributions and will act as coordinator of such assistance to the ICGLR by informing the Netherlands co-chair as required.

The appraisal criteria set by the Group of Friends of the Great Lakes Region, which takes into account the conference concept paper and donor concerns, is the basis of all appraisals. The criteria for appraisal of financial proposals and guidelines are attached (Appendix A).

The selection and approval process of requests to be financed by this project is shown in the enclosed flow charts (Appendix B). The Office of the Special Representative to the Secretary General or the Commission of the African Union constituting the Secretariat of the ICGLR will identify regional activities. These proposals will be evaluated by the TAT and the requests, together with the evaluation reports, will be forwarded to the Netherlands co-chair for approval by the BoT. National activities that contribute legitimately to preparing the Conference will be identified and presented by the National Preparatory Committees; these national activities will then be submitted by the National Coordinator through the UNDP Resident Representative in the core countries to UNDP – Kenya, with a copy to the Secretariat of the ICGLR in Nairobi, which after obtaining the Secretariat's analysis of its relevance to the preparatory process, will forward the document with its administrative analysis/evaluation to the co-chair (Netherlands) of the Group of Friends of the Great Lakes Region for funding approval. Other national activities that contribute legitimately to preparing the Conference can in special cases be submitted by an entity other than the National Preparatory Committees following hereafter the same process. The Group of Friends will, after its own evaluation, refuse the request or authorize the Kenya Country Office to disburse the corresponding amounts.

Specifically, two instances may occur: i) The Kenya UNDP office disburses ear-marked funds directly to the Secretariat of the ICGLR for all approved regional activities, including support to the Secretariat of the ICGLR, regional conferences and meetings, Ministerial meetings and Head of State summit; ii) The Kenya UNDP Country Office will authorize the participating UNDP Country Offices to disburse funds ear-marked for country activities as submitted by the National Preparatory Committees.

The UNDP offices involved except Kenya will charge the project through the Kenya office for their services on a cost recovery basis, automatically through the Peoplesoft Enterprise Resource Planning system, at rates which are built upfront and predetermined depending on the amount of work involved, usually in the range of 2 percent. The concerned UNDP country offices (including the Kenya office) will contribute from their TRAC to the cost of the project in amounts corresponding to their service charge, in the range of 2 percent.

At each country level the proper disbursement modality will be determined by UNDP in consultation with the TAT. All disbursements shall be made in accordance with a MOU between the UNDP Country Offices and the implementing partner usually the National Preparatory Committees or on the basis of the Standard Basic Assistance Agreement when appropriate.

If the UNDP Country Office chooses to advance funds, disbursement will be made on the basis of quarterly financial report/work-plans. The request for advances shall be signed by officers who are

authorized in writing to do so by the respective accounting officers and shall specify the amounts of funds required for the next quarter in the prescribed form.

An implementing agency may request UNDP to make direct payments to other parties for goods and services provided to the project.

The implementing agencies must submit a Financial report to the UNDP country office no later than 15 days after the end of the quarter. The submission of the Financial Report is mandatory.

In managing the resources, the implementing agencies have fiduciary and compliance responsibilities to UNDP. An audit of this project, whose components are implemented by, appointed agents must fulfill the following set of objectives:

- i) Component disbursements are made in accordance with the project documents
- ii) Component disbursements are valid and supported by adequate documentation;
- iii) An appropriate system for internal control is maintained by the project component secretariat and can be relied upon;
- iv) Component financial reports are fair and accurately presented;
- v) The project monitoring and evaluations are prepared as required, and,
- vi) Component disbursements are duly verified and replenishments are duly authorized by UNDP, on a quarterly basis.

UNDP Kenya will provide US\$ 25,000 to facilitate the quick start up of activities as well as the establishment of a web-site. The web-site will be developed in cooperation with the Secretariat and include background information, information on proposals and the progress and practical information regarding the activities undertaken. The web-site will be interactive and should as such support coordination and participation in all core countries. The Secretariat will be responsible for managing the web-site.

In order to further enhance the management of the process, enhancing the general capacity of the Secretariat of the ICGLR and building the capacity of the National Preparatory Committees on management, budget control and financial mechanisms is planned. The capacity building of the National Preparatory Committees will be undertaken in the core countries and facilitated by the UNDP country offices. Undertaking capacity building activities is pending decision by the BoT.

## Appendix A

### CRITERIA FOR FINANCIAL PROPOSAL APPRAISAL AND GUIDELINES

The BoT will approve a Conference workplan which will be used as a working document to select and recommend national or regional activities. Other activities proposed will be analysed by the Conference Secretariat and forwarded by UNDP – Kenya with a recommendation on a case-by-case basis or in an omnibus manner depending on the situation.

**At a minimum, all proposals must:**

- 1 originate or be supported by the ICGLR Secretariat or one of the National Preparatory Committees in the core countries. Exceptionally, the BoT may consider a proposal from an organisation based in one of the core countries as long as it is validated by the UNDP Office in that country, or the Secretariat of the ICGLR. In the case of supported proposals, implementing organisations must be registered national or regional civil society organisations (e.g. networks, NGOs, associations, community-based organisations);
- 2 be accompanied by an analysis and recommendation from the ICGLR Secretariat;
- 3 propose initiatives directly related to one of the four themes of the Conference.
- 4 present activities that would be completed before the second summit of the Heads of States (expected for June 2005).

Proposals should clearly indicate:

- 1 the objectives sought and how they relate to the conference and one or more of its themes
- 2 results expected as well as how and when these would enhance the Conference process
- 3 a transparent budget, including the organisation's contribution (financial or in kind) as well as funds received/expected from other sources
- 4 how the project or activity will act as an effective instrument to reach one or more of the objectives of the ICGLR

Prior to submitting a proposal for approval to the BoT, the EA/TAT will review and analyse all proposals and will consider:

- 1 the availability of funds to cover such an initiative;
- 2 the effectiveness and efficiency of proposals aiming at similar results. When required, the Secretariat will consult other parties to evaluate the effectiveness of the activity.
- 3 the work of and coordination with other organisations funding the Conference process to maximize the efficiency of various funding mechanisms;
- 4 the need to equitably assist all National Committees as well as the Secretariat of the Conference;
- 5 the need to focus adequate attention on each of the four key themes and the two cross-cutting themes

of the Conference.

### **Funding:**

In the case of National Preparatory Committees, the Group of Friends, through its BoT, will consider funding office equipment considered essential to the work of the National Committee as well as expenses directly related to preparing or holding a preparatory conference or summit (e.g. accommodation, reasonable per diems and transportation to and from conferences, seminars and training sessions). The BoT will not normally fund or reimburse overhead costs such as salaries, utility and telephone bills, the purchase or rental of vehicles, or the rental of office space, as these expenses are considered a normal and appropriate investment by members States in the ICGLR. However, such requests may exceptionally be considered if it can be demonstrated that such assistance is essential to the functioning of a particular National Committee or the Secretariat of the Conference.

No offer, gift or payment, consideration or benefit of any kind, which constitutes an illegal or corrupt practice has or will be made to anyone, either directly or indirectly, as an inducement or reward for the award of the execution of this Annual Work Plan and related Memorandum of Understanding. Any such practice will be grounds for terminating this Annual Work Plan and related MOU or taking any other corrective action as required. The UNDP –Kenya Office will ensure that an anti-corruption clause will be included in Contribution Agreements with funding recipients.

In the case of civil society organisations, the Group of Friends, through its BoT, will consider funding costs associated with activities that contribute to the achievement of the objectives of the Conference. Capital expenses will not normally be accepted.

Any member of the GoF contributing to the Trust Fund reserve the right to claim repayment in full or in part of funds made available under this Project and related Memorandum of Understanding if its contribution is found not to have been used in accordance with the terms and conditions of this Annual Work Plan and related Memorandum of Understanding. The Netherlands co-chair and the UNDP – Kenya will consult with each other with a view to reach a solution in the matter before the individual member exercises its right to claim repayment in full or in part of any funds. The UNDP – Kenya's liability under this paragraph is limited to the amount repaid.

In cases of premature termination by the co-chairs the termination will not apply to funds irrevocably committed in good faith by UNDP – Kenya before the date of the written notice of termination, provided that the commitments were made in accordance with the signed MoU.

United Nations Development Programme - Project of the Friends of the Great Lakes  
Annual Work Plan  
Work Matrix – Fiscal Year 2004 - 2005

Project Number: KEN/04/037/01/34  
Project Title: Support to Preparation of Great Lakes Peace Conference

EXPECTED OUTPUTS	Key Activities	Q1 2004	Q2 2004	Q3 2004	Q4 2004	Q1 2005	Q2 2005	RESPONSIBLE PARTY	PLANNED BUDGET		
									Source of Funds	Budget Description	Amount
Increased dialogue on peace, security, democracy and development in the Great Lakes Region at highest Government level	Summits of Heads of State				X		X	OSRSG/GL	Fund		2,500,000
	Ministerial meetings				X		X	OSRSG/GL	Fund		1,008,738
Increased dialogue on peace, security, democracy and development in the Great Lakes Region at country and regional level	Workshops and meetings at country level for preparation of the summit of the Heads of State							National Country Preparation Committees Secretariat of the ICGLR	Fund		5,700,000
	Secretariat management	X	X	X	X	X	X	Secretariat of the ICGLR	Fund		200,000
Increased capacity of National Preparation Committee and other national implementing institutions	Training in management, budget control and financial management mechanisms	X	X	X	X	X	X	UNDP, Kenya	Fund		300,000
	Enhanced information sharing among stakeholders	X	X	X	X	X	X	UNDP, Kenya	UNDP, Kenya Trac		25,000

United Nations Development Programme - Project of the Friends of the Great Lakes  
Work Matrix – Fiscal Year 2004 - 2005

Project Number: KEN/04/037/01/34

Project Title: Support to Preparation of Great Lakes Peace Conference

	Technical and administrative/financial management and audits of project	X	X	X	X	X	X	X	UNDP, Kenya			291,262
<b>TOTAL</b>												<b>10,025,000</b>



