

Government of Ethiopia

United Nations Development Programme

Ministry of Finance and Economic Development (MoFED)

**Multi-Donor Support for the Democratic Institutions Programme
August 2007**

Brief Description

The Democratic Institutions Programme (DIP) is a five-year, multi-donor program in support of the PASDEP's theme goal to develop "... a fully operational democratic, accountable and responsive constitutional federalism, ensuring citizens' empowerment and participation"

The purpose of the DIP is to support the development of key organisations that together play a role in strengthening institutional frameworks of democratic governance in Ethiopia, viz. 1). Promoting human rights and good governance; 2). Enhancing the capacity of democratic institutions to be effective, sufficient and responsive in promoting and protecting the rights of citizens; 3). Empowering citizens to be active and effective participants in the democratic process as well as respect for the rights of others. To achieve these objectives, the DIP has identified, but is not limited to, the following key institutions as enabling partners: The National Electoral Board of Ethiopia, Ethiopian Human Rights Commission, Ethiopian Institute of Ombudsman, Ethics and Anti-Corruption Commission, House of Peoples' Representatives, Regional State Councils, the House of Federation and Regional Council of Nationalities.

Approved by:

Signature:

Date:

Name Title:

Government
(MOFED):

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H.E. Ato Mekonnen Manyazewal
State Minister, MOFED

UNDP:

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Mr. Fidele Sarassoro
UNDP Resident Representative and UN
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PROGRAM SUMMARY

UNDAF Outcome:

By 2011, contribute to the achievement of Millennium Declaration principles through enhanced democratic empowerment and participation at the grassroots level through justice sector reform, civil service and civil society capacity building and promotion of decentralization at all levels, including upholding of human rights principles, transparency and accountability.

Expected Outcome(s):

- CP 2: Parliament and Electoral Bodies: (federal and regional) empowered to fully integrate the priorities of the population in particular the vulnerable and marginalized groups.
- CP 3: Increased enjoyment of human rights at grassroots level through Government efforts in promotion and protection of human rights and civil society empowerment (with special emphasis on community based organizations) including the empowerment of vulnerable groups (in particular women and children) and their capacity to influence the development process.

MYFF Goal: 2. Fostering Democratic Governance

- 2.1 Policy support for democratic governance.
- 2.2 Parliamentary development.
- 2.3 Electoral systems and processes.
- 2.4 Justice and human rights.
- 2.7 Public administration reform and anti-corruption.

Expected Output(s):

- 1.4 Prevention, investigation and prosecution of corruption supported and increased awareness of ethics and anti-corruption within Ethiopia.
- 2. Parliament's Capacity for law making and revision strengthened at federal and regional levels.
- 2.2 Parliament's consultation/representative function strengthened and technical function in designing in poverty reduction legislation enhanced at federal and regional levels.
- 2.3 Parliament's oversight functions strengthened.
- 2.4 Institutional strengthening of electoral bodies including the National Electoral Board of Ethiopia.
- 3.1 Improved operational mechanisms of national human rights institutions (including Human Rights Commissioner and the Ombudsman office, Ombudsman for Children).
- 3.2 Human Rights Education: Increased understanding and awareness of governmental, non-governmental bodies, the judiciary, communities, law enforcement agents, Parliament, grassroots organizations.

Implementing partner: Ministry of Finance and Economic Development
Responsible parties: The National Electoral Board of Ethiopia, Ethiopian Human Rights Commission, Ethiopian Institute of the Ombudsman, Ethics and Anti-Corruption Commission, House of Peoples' Representatives, Regional State Councils, the House of Federation and Regional Council of Nationalities.

Programme Period:	2007-2011/12
Programme Component:	Fostering Democratic Governance
Project Title:	Democratic Institution Programme (DIP)
Project ID:	Proposal ID 00047799 Project No. 00057667
Management Arrangement	NEX

Budget:	USD 49.942 Million
GMS Fee (7%) ¹ :	USD 3.496 Million
Total Budget:	USD 53.438 Million
Pledged Resources:	USD 53.438 Million
CIDA	USD 13.6 million
DFID	USD 20 million
UNDP	USD 3.5 million
SIDA	USD 5.9 million
The Netherlands	USD 3.0 million
Denmark	USD 0.5 million
Irish Aid	USD 0.13 million
Austrian Co-operation	USD 0.81 million
Italian Co-operation	USD 0.34 million
Norway	USD 4.1 million
USAID	USD 1.458 million
OHCHR	USD 100,000

¹ A GMS of 5% applies to all contributions received before 31st December 2007.



Part I: SITUATION ANALYSIS

1.1 Context

1.1.1 The Government of Ethiopia has emphasised its support for continuing to enhance democratisation and to improve governance in its second PRSP known as the Plan for Accelerated and Sustained Development to End Poverty PASDEP (2006- 2010).

1.1.2 It recognises that democracy and good governance are necessary conditions for poverty reduction. To this end the PASDEP seeks to create a more conducive environment to facilitate enhanced degrees of popular participation, and at the same time increasing mechanisms of accountability, responsiveness and effectiveness of public institutions.

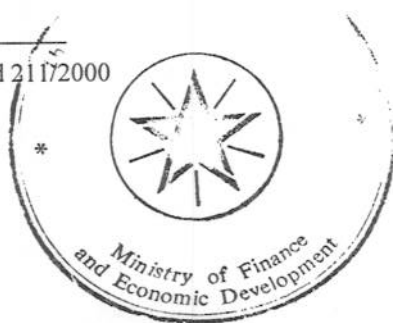
1.1.3 The PASDEP Governance Matrix sets out a number of outputs and outcomes relating to the development of state organisations and institutions, in particular in relation to Parliaments, the Justice Sector, the Civil Service, decentralised systems of government, mechanisms of conflict management and resolution, democratic representation, and organisations of good governance such as the Institute of the Ombudsman and the Human Rights Commission.

1.1.4 This government-owned agenda is supported by United Nations Country Team (UNCT) which has as its goal (as set out in the United Nations Development Assistance Framework (UNDAF) for 2007-2011) to *“contribute to the achievement of Millennium Declaration principles through enhanced democratic empowerment and participation at the grassroots level through justice sector reform, civil service and civil society capacity building and promotion of decentralization at all levels, including upholding of human rights principles, transparency and accountability.”*

1.1.5 This agenda is further shared within the community of development partners of Ethiopia. The Development Assistance Group (DAG) comprises bilateral and multilateral donors and partners in Ethiopia and is committed to the good governance agenda as outlined in the PASDEP. Its technical working group that considers governance issues has developed a strategy that sets out how the Government of Ethiopia might be supported in meeting the challenges of improving governance. Particular prominence is given to how relatively young organisations which support democracy and human rights might be assisted in institutional development so that the goals of developing a more capable, responsive, accountable and enabling state might be met. The DAG has approved this programme document.

1.1.6 The Constitution of the Federal Democratic Republic of Ethiopia (1994) upholds that ‘Every person has the inviolable and inalienable right to life, to security of person and liberty’, and iterates, in following articles a number of rights of persons. To help the promotion and protection of these rights the House of Peoples’ Representatives appointed a Commissioner to lead the new **Ethiopian Human Rights Commission** and also made an appointment to the new post of the **Ombudsman**¹ in June 2004. In 2005, additional commissioners were appointed and staff recruited for these institutions. In 2006, a five-year strategic plan was elaborated for the Ethiopian Human Rights Commission (EHRC) and a professional executive director recruited. Similarly, the Ethiopian Institute of the Ombudsman has begun its own strategic planning process in 2006.

¹ Proclamations 210/2000 and 211/2000



1.1.7 **The Federal Ethics and Anti-Corruption Commission² (FEACC)** was established in 2002, as part of a wider programme of civil service reform. Its objective is to promote ethics and educate citizens on the impact corruption has on society, to prevent corruption offences and other improprieties, to expose, investigate and prosecute corruption offences and impropriety and to mainstream anti-corruption messages into ongoing programmes of civil service reform. Ethiopia has signed the UN Convention against Corruption in 2003 and is one of 30 countries to sign the African Union Convention on Preventing and Combating Corruption in 2005. As of April 2006 Regional Ethics and Anti Corruption Commissions had also been established in four regions (Amhara, Oromia, Tigray, and Southern Nations, Nationalities, and People's Region [SNNPR]). To help in the more effective and targeted discharge of its responsibilities the FEACC has prepared and is implementing a strategic plan for 2007-2010.

1.1.8 In 2005, the **National Electoral Board of Ethiopia (NEBE)** oversaw the execution of national elections for the third time since its formation. An institutional assessment conducted by the electoral board in collaboration with UNDP in March 2006 made a number of recommendations regarding organisational structure and the design and conduct of core business processes of the NEBE. A particular recommendation of note was to strengthen regional offices to allow more effective administration of elections for jurisdictions at decentralised level. The NEBE has now drawn up a 2006-2010 Strategic Plan, which will be considered by the House of People's Representatives during the 1999 Ethiopian Calendar (2006-2007). What is abundantly clear is that the NEBE requires significant institutional capacity building to allow it to fulfil its complex mandate, in particular in the light of forthcoming elections at both woreda and kebele level in 2007-2008, as well as for the next national election in 2010.

1.1.9 The two houses of the Federal Parliament, the **House of Peoples' Representatives (HoPR)** and the **House of Federation (HoF)** have undergone substantial changes as a result of and following the elections of 2005. As a result of the elections, some 88% of the 547 members of the HoPR have changed, and now close to 30% of parliament comprises members belonging to parties of the opposition. In the House of Federation, there is a renewed commitment to build its capacity to better fulfil its constitutional mandates for ensuring equitable distribution of Federal subsidy to the regions, to resolve, prevent and manage internal conflict, and to conduct constitutional reviews. The profile of the HoF has risen, and now several Regional Presidents are members of this house. There is a similar picture of reinvigoration in other institutions. In the regional state councils (e.g. Amhara and Oromia) there is now a significant presence of opposition members. And the SNNPR Council of Nationalities is exploring ways in which it can build its own capacity to understand and resolve conflict at a local level.

1.1.10 There are also other organisations and institutions that might join this programme at a later date as interventions of support are developed in consultation with donor partners. Organisations of private and state media, and other such bodies can be identified as having roles and missions which are consistent with this programme's purpose. To this end the programme has been designed so that it is flexible, allowing other sub-programmes to join when deemed necessary by the government.

1.1.11 The organisations mentioned above are but some of the ones that ultimately play a role in promoting good governance and democracy; but the PASDEP also identify others, which together contribute to a rich and interconnected institutional framework. But this framework is in need of development, and interventions which have capacity enhancement as their aim are both necessary and timely, as donor partners and Government continue to build on a shared agenda which sees

² Proclamation 235/1993



good governance as one of the central elements in poverty elimination and the development of a modern, capable, responsive, accountable and enabling state.

1.2 Strategy

1.2.1 Donors, the Government and the UN Country Team have worked closely together on the harmonization agenda in Ethiopia. With regards to democratic governance, there is an existing harmonization mechanism for the Public Sector Capacity Building Program (PSCAP) which is a comprehensive programme providing support for six major sectors: Civil Service Reform, District-level Decentralization, Justice System Reform, Tax System Reform, Urban Management and Development, Information and Communications Technology. A number of donors including the World Bank, the UK's Department for International Development (DFID), Irish Aid, and the Canadian International Development Agency (CIDA) are providing resources through a pooled fund managed by the Ministry of Finance and Economic Development (MoFED), and are working in a coordinated manner with the Ministry of Capacity Building (MCB) to support this important reform initiative.

1.2.2 Support for the 2005 National Elections was also provided in a harmonized manner with 12 donors contributing cost-sharing funds through UNDP, to provide technical assistance to the National Electoral Board of Ethiopia.

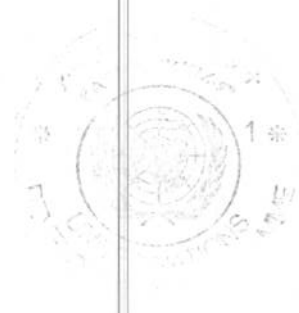
1.2.3 The DIP seeks to build on these success stories of harmonization, in order to provide comprehensive and coordinated support to the following key organisations:

- Ethiopian Human Rights Commission (EHRC)
- Ethiopian Institute of the Ombudsman (EIO)
- Federal Ethics and Anti-Corruption Commission (FEACC)
- House of the Federation (HoF) and Regional Councils of Nationalities
- House of People's Representatives (HoPR) and Regional State Councils
- National Electoral Board of Ethiopia (NEBE)

1.2.4 UNDP currently supports these state partners and has a cooperation agreement in the form of the 2007-2011 Country Programme Action Plan. UNDP has worked closely with the EHRC and the Ombudsman since their establishment in 2004, and has partnered the House of Peoples' Representatives for over nine years. In addition to managing basket fund assistance for two national elections (2000 and 2005), UNDP has also supported institutional strengthening of the NEBE in between elections. Partnerships with the House of Federation and the Federal Ethics and Anti Corruption Commission are the newest, beginning in 2007.

1.2.5 Given UNDP's partnership history with these institutions, UNDP's experience in managing donor funds, and its comparative advantage as an 'impartial' partner, and mandate to be a focal point for donor coordination and harmonisation, the case for UNDP to manage the pooled fund mechanism in support of democratic institutions is strong.

1.2.6 A flexible funding mechanism has thus been developed under UNDP's management structure. This arrangement allows donors to earmark funds for specific institutions or provide lump sum, third-party cost-sharing funding for the entire programme. This allows the Government/UNDP some flexibility in allocating funds, primarily based on the implementation capacity of the respective institutions. This would allow more predictable and long-term funding



possibilities for the respective institutions, but could also allow donors to reassign funds to other institutions, if some institutions are not able to fully utilize all the resources allocated to it.

1.2.7 In addition to UNDP, the following donors have made an initial pledge to contribute funds: Canadian International Development Agency (CIDA), the Department for International Development (DFID), the Swedish International Development Cooperation Agency (Sida), the Netherlands, Denmark, Irish Aid, Austrian Co-operation, Italian Co-operation, Norway, the United States Agency for International Development (USAID) and the Office of the High Commissioner for Human Rights (OHCHR). Other members of the DAG – who have approved the programme document – may contribute at a later date.

1.2.8 In terms of meeting the requirements of the UN reform agenda, this programme recognises that a number of UNDAF partners are stakeholders in this programme. Where the UNDAF has identified a lead agency within the UN system; that agency will co-ordinate all UN inputs.

1.2.9 For each sub-programme, the respective democratic governance organizations will be responsible for the development of programme documents with the support of the UNDP/DIP Coordination Unit, if there is a need for such support.

1.2.10 Donors and UN agencies providing bilateral support to the same institutions outside the framework of the DIP will be encouraged to align with the activities of the DIP and the framework of the PASDEP. Interim support activities to institutions that will eventually be supported by the DIP will be closely co-ordinated and a smooth transition will be made into the Programme.



Part II: RESULTS FRAMEWORK

2.1 This Results Framework is at this stage **is only indicative**, and should be viewed as a 'living document'. Each component of this umbrella programme, in effect a programme of support to each specific democratic governance organisation, will itself have a specific project document which will outline the activities, results expected with a detailed budget. Once sub-programmes under the overall programme umbrella are finalised the framework will have to be updated so that sub-programme documents and this document can be reconciled.

Intended Outcome:	Well-structured and well-functioning institutions that embody open, transparent and democratic governance which respects the rights of all its citizens as enshrined in the Constitution (Adapted from the PASDEP, P. 176)
Outcome Indicators:	The structure, effectiveness, responsiveness and accountability of the institutions, the quality of the services rendered by the institutions the level of awareness of the people about their rights and the existence of an enabling legal and policy environment.
Partnership Strategy:	Ethiopian Human Rights Commission (EHRC), Ethiopian Institute of the Ombudsman (EIO), Federal Ethics and Anti-Corruption Commission (FEACC), House of the Federation (HoF), House of People's Representatives (HoPR), Regional State Council (RSC), National Electoral Board of Ethiopia (NEBE), MoFED, UNDP, Donors who finance the DIP.
Project Title:	Democratic Institutions Programme (DIP)
Project Number:	00057667

1. Ethiopian Human Rights Commission (EHRC)

Intended Outcomes	Output Target	Link to GoE PASDEP Policy Matrix
Enhanced capacity of HRC to promote, enforce and protect the rights of citizens, and to receive, investigate, follow-up on complaints related to human rights violations and abuses and periodically report on its work in the public domain.	<ul style="list-style-type: none"> • Publication of annual reports detailing cases pursued, actions taken, the results of investigations, etc. • Translation, publication and dissemination of basic international and regional human rights instruments in 7 vernacular languages. • Media education in at least 4 local vernacular languages • Publication and dissemination of brochures and leaflets in at least 7 national languages. • Establishment of regional offices in all regions. • Strengthened system in place for receiving, investigating and reporting on Human Rights violations and abuses. • Effective outreach to citizen/public and relevant government institutions. • Automated complaints management system developed. • 2300 cases investigated and resolved over 5 years. • System in place to manage training within HRC. 	Governance Matrix XVIII, F:

2. Ethiopian Institute of the Ombudsman (EIO)

Intended Outcomes	Output Target	Link to GoE PASDEP Policy Matrix
Enhanced capacity of EIO to receive, investigate, and follow-up on administrative complaints enhanced, resulting	<ul style="list-style-type: none"> • System established for receiving, investigating and reporting on administrative complaints and mal-administration. • Increased public awareness of IO and its mandate. • Number of cases resolved, in a timely fashion (with in one year). • Established and fully functioning branch offices in all regional states. 	Governance Matrix XVIII, E:



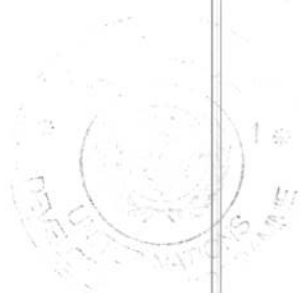
in improved promotion, claiming and enforcement of Citizens' rights.	<ul style="list-style-type: none"> Organizational structures both for the head and regional offices prepared and approved. Manuals, guidelines, directives implemented. Monitoring guideline implemented. Human resource development and administration manual implemented. Effective outreach to citizen/public and relevant government institutions. 	
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3. Federal Ethics and Anti-Corruption Commission (FEACC)

Intended Outcomes	Output Target	Link to GoE PASDEP Policy Matrix
Improved effectiveness, efficiency and accountability of the Civil Service; efforts to fight against corruption institutionalized, well structured and systematized,.	<ul style="list-style-type: none"> Enhanced capacity of the FEACC to receive, investigate, and follow-up on complaints related to corruption and increased public awareness on the damaging effect of corruption. Enhanced capacity to prevent corruption. Efficient, independent and appropriately resourced anti-corruption bodies established in all regions. Improved operational systems to combat corruption and its causes at all level of government. Investigative capacity of FEAC on the working practices and procedure of public enterprises and public offices increased. Awareness- raising activities of FEACC on basic ethics and anti-corruption education enhanced. FEACC facilitates the establishment and operation of regional ethics and anti corruption offices. Corruption survey conducted. Effective outreach to citizen/public and relevant government institutions. 	Governance Matrix XVIII, A. 4.2: and FEACC AWP 2007

4. House of Peoples' Representative (HoPR)

Intended Outcomes	Output Target	Link to GoE PASDEP Policy Matrix
House of Peoples' Representatives and Regional States Councils with enhanced capacities in law making processes, oversight, public consultation and popular representation	<ul style="list-style-type: none"> Increased quality of draft legislation sent to the Standing Committees. Improved legal drafting skills of Parliamentary Secretariat. Improved negotiation skills of MPs. All MPs trained in parliamentary procedures and Processes and parliamentary oversight mechanisms. Parliamentary working system and procedure implemented. New law-making procedure of parliament implemented. Parliamentary secretariat reorganised. Parliament equipped with audiovisual and IT equipment. Committee reports, debates, public consultation reports in public domain in timely fashion. Effective outreach to citizen/public and relevant government institutions. 	Governance Matrix XVIII, A1:



5. House of Federation (HoF)

Intended Outcomes	Output Target	Link to GoE PASDEP Policy Matrix
Oversight, conflict resolution and constitutional interpretation capacity of the House of Federation improved.	<ul style="list-style-type: none"> Increased the capacity of members of HoF review of fiscal formula, equity of distribution to regions. Enhanced capacity of the HoF in resolving and preventing conflicts. National Conflict Strategy Adopted. New working system procedure implemented. New organizational structure of HoF implemented. HoF and its secretariat equipped with the necessary IT. The secretariat of HoF fully and appropriately staffed. Effective outreach to citizen/public and relevant government institutions. 	Governance Matrix XVIII, A2:

6. National Electoral Board of Ethiopia (NEBE)

Intended Outcome	Output Target	Link to GoE PASDEP Policy Matrix
Elections held in accordance with Constitution of the Federal Democratic Republic of Ethiopia overseen by effective NEBE	<ul style="list-style-type: none"> Free and fair elections conducted in accordance with the constitution of the Ethiopia. Increased number of citizens exposed to Civic and Voter Education. NEBE reorganized. Involvement of CSOs as and when NEBE mandates the delivery of voter education. Neutral and well-informed media coverage. Effective outreach to citizen/public and relevant government institutions. 	Governance Matrix XVIII, D:

7. Programme Management

Intended Outcome	Output Target	Link to GoE PASDEP Policy Matrix
Efficient support to the Implementation of programme resulting in the achievement of all outputs and corresponding outcomes.	<ul style="list-style-type: none"> Regular monitoring reports to government and donors. Annual Audits of all programme activities in accordance with international standards. Documentation of best practice and production of knowledge products on capacity strengthening of key governance institutions. Mid term evaluation conducted detailing lessons learnt. 	



Part III:

MANAGEMENT ARRANGEMENTS

3.1 Overview

3.1.1 This programme will be run as a UNDP National Execution (NEX) Project. This is a standard methodology, developed in compliance with UN General Assembly Resolution of December 1992 [47/199] on programme implementation in programme countries. Overall financial management will rest with UNDP. The donor funds contributed in support of this programme will be managed and coordinated by UNDP. There will be a bilateral cost-sharing agreement between each donor and UNDP based on the respective standard agreements currently existing between UNDP and these donors. This project document will be signed by UNDP and the Ministry of Finance and Economic Development.

3.1.2 Each contribution agreement will be underpinned by the GOE/UNDP project document, which defines the umbrella structure for all programme activities and has been agreed by the DIP donor partners. Each component of this umbrella programme, in effect a programme of support to each specific democratic governance institution, will itself have a specific project document that will outline the expected results, activities, detailed budget and annual work plan. Management arrangements within each sub-programme may vary according to the situation and requirements of each beneficiary institution.

3.1.3 The umbrella programme will have a Programme Manager (internationally recruited by UNDP) to manage the day-to-day operations of the programme. The role of the Programme Officer is discussed further below.

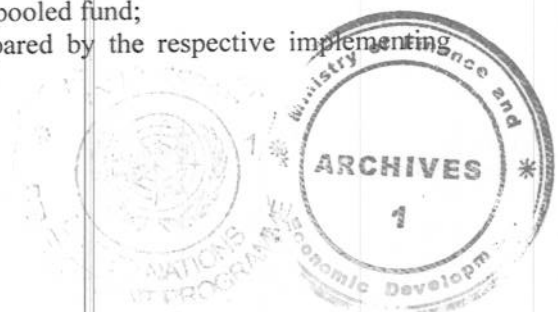
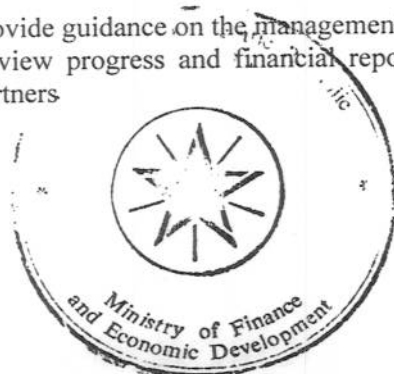
3.1.4 A hierarchy of committees will be in place to oversee the progress of the programme at different levels. This is described below and represented graphically in Annex 1. A review of the efficiency and effectiveness of this structure will take place at the end of the first year of implementation.

3.2 The Co-ordination Committee

3.2.1 In accordance with NEX modality, a steering committee called the **Coordinating Committee (CC)** will be established for the whole programme at its inception. The CC will be chaired by a representative of MoFED, and will have representatives from five donor agencies contributing the major share of programme funds, a representative from UNDP as well as representatives from each of the sub-programmes beneficiary institutions. All representatives should be fully mandated to take decisions regarding the programme. The Programme Manager will also attend CC meetings, not as a representative of UNDP but rather as part of his/her accountability to stakeholders in being the overall manager of the programme's funds. The Programme Manager will serve as the Committee Secretary, and will ensure that meetings are held at the appropriate time.

3.2.2 The CC will operate at a strategic level, taking oversight of the programme and ascertaining what overall progress is being made in its rollout. Specifically, it will:

1. Provide guidance on the management of the pooled fund;
2. Review progress and financial reports prepared by the respective implementing partners



3. Review financial information relating to the pooled fund, in particular fund deposits, disbursements and utilisation;
4. On the advice of the Technical Committee (described below) agree releases of financial support from the pooled fund to the individual programme components;
5. Discuss any issues of concern (impediments to progress and the like), recommend remedial action where appropriate,

3.2.3 In addition, one of its first roles will be to set clear and transparent procedures regarding how programme cost-sharing funds are allocated, and the appropriate trade-offs between earmarked and non-earmarked funding. The CC will endeavour to ensure, wherever possible, that each institution's work plans can be taken forward, but will have to decide what rules it may apply when funds are insufficient.

3.2.4 The CC may also agree to new 'components' of the DIP programme joining the umbrella, as and when requested by the Government. Such components may join DIP on a review of the proposed project documentation by the CC. Such proposed sub-programmes will need to be tested against the logic of the DIP as a whole, and in particular such sub-programmes will need to demonstrate that they are contributing to the overall intended outcomes of the programme, namely the development of transparent and democratic governance that respects the Constitutional rights of all its citizens.

3.2.5 The CC will meet biannually, but may meet more frequently at the request of UNDP, MoFED and/or a contributing donor. At the final CC meeting of each programme year, the other contributing (non-CC member) donors will be invited to attend as observers, for annual reporting purposes.

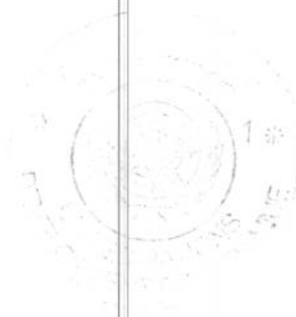
3.3 The Technical Committee

3.3.1 Below the CC there will be a **Technical Committee**. The purpose of this committee will be to take a consolidated view of the work of all the sub-programmes. It will assure the quality of reporting and will make specific recommendations regarding ongoing support and use of programme funds to the CC.

3.3.2 The Technical Committee will comprise eight people, being a representative of MoFED (chairing the group), three implementing partner representative (nominated by the CC), one from UNDP, two donor representatives (nominated by the CC) and the Programme Manager. It will meet quarterly in order to review quarterly reports, give recommendations and monitor implementation of programme activities against approved work plans. As with the CC, the Programme Manager will serve as the Committee Secretary, and will ensure that meetings are held at the appropriate time.

3.3.3 The Technical Committee will be accountable to the CC and major decisions recommended by the TC or issues that are not resolved at this level will be referred to the CC meetings.

3.3.4 Each implementing institution submits quarterly reports to MoFED. MoFED will undertake the preparation of a consolidated report with the support of the UNDP DIP Coordination Unit.



3.4 Annual Work Plans

3.4.1 Each implementing partner (that is The House of the Federation, the National Electoral Board of Ethiopia, the Ethiopian Human Rights Commission, the Ethiopian Institute of Ombudsman, and the Federal Ethics and Anti-Corruption Commission, plus the House of Peoples' Representatives in respect of both itself and the Regional State Councils) will prepare a results-based annual work plan. In this process, each implementing institution can seek technical support from the DIP Coordination Unit when it deems it necessary.

3.4.2 Results-based work plans will be developed using a similar template to ensure consistency and common standards among institutions. While primary focus will be on each institution's core programme, joint-activities will be encouraged where appropriate with other Democratic Institutions working on similar issues or sectors. Cross-cutting issues (gender, HIV-AIDS, environment) will be mainstreamed in work plans.

3.4.3 Once finalized, each implementing institution will submit its annual work plan to MoFED. The work plans will be endorsed by the CC (via the TC). The concerned implementing partner, MoFED and UNDP, will sign the approved work plans.

3.5 Reporting and Disbursement

3.5.1 Initial disbursement from UNDP to implementing partners will be made on agreement of a forward plan covering the first six months of each sub-programme; thereafter, disbursement will be against satisfactory completion and delivery of the previous period's plan and agreement of the next period's plan, discussed at the sub-programme level and endorsed by the CC. NEX advances for each sub-programme will be made based on the approved Annual Work Plan on a quarterly basis, based on the UN Harmonized Cash Transfer Modality (HACT) Where there are disagreements within the CC as to whether a disbursement can go ahead the matter will be resolved by consensus.

3.5.2 Implementing partners will, in coordination with the DIP Coordination Unit in UNDP, prepare and submit **quarterly financial and progress reports** to MoFED. These reports will be in an agreed UNDP format. MoFED will consolidate and submit all reports to the UNDP DIP Coordination Unit. Thereafter, the UNDP DIP Coordination will submit a consolidated progress and financial report to the TC for further review.

3.5.3 Financial requests and reports using Funding Authorizations and Certification of Expenditure (FACE) can directly be submitted to the UNDP DIP Coordination Unit by implementing institutions, with a copy to MoFED.

3.5.4 UNDP will submit biannual **financial and progress reports** to MoFED showing receipts and disbursements to and from the programme funds. The report will be copied to the CC. These reports will also be in an agreed UNDP format.

3.5.5 The design of each sub-programme will include full details of monitoring and reporting requirements. These will include a mid-term review process to assess whether activities and outputs are delivering the intended outcomes and a programme completion report.



3.6 Implementing Partner Obligations

3.6.1 The exact detail of how each implementing partner will meet the reporting requirements of the overall programme will be set out in the programme documents for each sub-programme. However, as a guiding principle each implementing partner has to ensure that it will have adequate staffing that will ensure timely planning and implementation of the sub-programmes, and timely reporting of their progress. Where there are capacity gaps, this programme will strive to address these as a matter of priority.

3.6.2 Each implementing partner will have a nominated coordinator and a finance officer. These individuals will be the focal point for programme activities, and will be responsible for ensuring that reports are rendered to UNDP in a timely fashion via MoFED.

3.7 UNDP and Partner Obligations

3.7.1 UNDP will recruit an international Programme Manager (PM), to serve as the head of the DIP Coordination Unit, to be located within UNDP. The PM's main functions entail the management of programme funds. The unit will be funded via third-party cost-sharing contributions to the overall programme.

3.7.2 In addition to the Programme Manager, a National Programme Officer (NPO) and a Programme Assistant will staff the DIP Coordination Unit. The NPO will maintain ongoing dialogue with (e.g. donors, implementing partner, etc.). The Programme Assistant will provide administrative and technical support to the unit, ensuring that work plans and financial reports are received from implementing partners, and collated for distribution to the committees, MoFED and/or any other relevant stakeholder. This unit will work with nominated coordinators and finance officers of implementing partners to ensure that reports are in-line with the UNDP format, assure quality of the data presented, and then submitted to MoFED. MoFED will then ensure that these reports are consolidated and submitted for further review via the established management structures.

3.7.3 The Programme Manager will be responsible (and accountable to the Coordinating Committee) for the ongoing progress of the project, and the reporting required to monitor progress, including the provision of the information needed to assure the appropriate delivery of donor funds. MoFED will be responsible for ensuring that the TC and CC meets on a regular basis and are in timely receipt of necessary and sufficient information for the TC and CC. As the Committee Secretary, the Programme Manager will be responsible for ensuring that minutes of the meetings are kept and circulated to all stakeholders. S/he will be responsible for ensuring that audits take place each year and for providing regular updates on programme progress.

3.7.4 Although an issue for the programme design of individual sub-programmes, it is possible that programme funds may be used to provide other management support (perhaps in the form of UN volunteers) to implementing partners facing particular capacity challenges regarding programme design or reporting.

3.7.5 A budget line for short-term consultancies is included under the UNDP/DIP Coordination Unit. This will be used as necessary to fund ad hoc expert inputs, for example to support the design of future sub-programmes.



Part IV: LEGAL CONTEXT

4.1 This programme document shall be the instrument referred to as such in the Standard Basic Assistance Agreement signed between the Government of Ethiopia and the United Nations Development Programme.

Part V: BUDGET

5.1 UNDP TRAC resources for these democratic institutions are estimated at USD 3.5 million for 2007-2011/2012 and are intended to be seed funds. The total amount of funds pledged by contributing donors is estimated at USD 49.848 million. Table 5.1.1 and 5.1.2 outline the estimated allocation for each institution and each donors contribution, respectively. However, it should be noted that this budget is indicative, as it is based on the strategic plan of each institution. Final budgets will be established when sub-programme documents are finalised and both the overall budget and the budget components may differ from the indicative information contained in the tables. The budget is also subject to annual revision depending on the annual work plan of each institution and their capacity to implement programme activities according to the agreed work plans.

5.2 Each contribution will be charged a General Management Service fee of 7% as per UNDP's new cost recovery policy to cover administrative and support costs. However, it has been locally agreed that contributions recieved before 31st December 2007 will be charged a GMS fee of 5%, and then 7% for each subsequent contribution.

S/N	Budget Description	AMOUNT (USD \$ millions)
1.	Ethiopian Human Rights Commission (HRC)	6
2.	Ethiopian Institute of Ombudsman (EIO)	6
3.	House of People's Representatives and Regional State Councils (HoPR)	12
4.	House of Federation (HoF)	4
5.	National Electoral Board of Ethiopia (NEBE)	8
6.	Federal Ethics and Anti-Corruption Commission (FEACC)	4
7.	DIP Coordination Unit	
	7.1 Programme Manager	0.525
	7.2 National Programme Officer	0.09
	7.3 Programme Assistant	0.036
	7.4 Short-term Consultancies	0.3
	<i>Sub-total:</i>	0.951
8.	<i>Programme Reserve</i>	8.991
9.	GMS ³ (7%) Fee	3.496
	TOTAL	53.438

³ Contributions received before 31st December 2007 will be subject to a GMS charge of 5%.

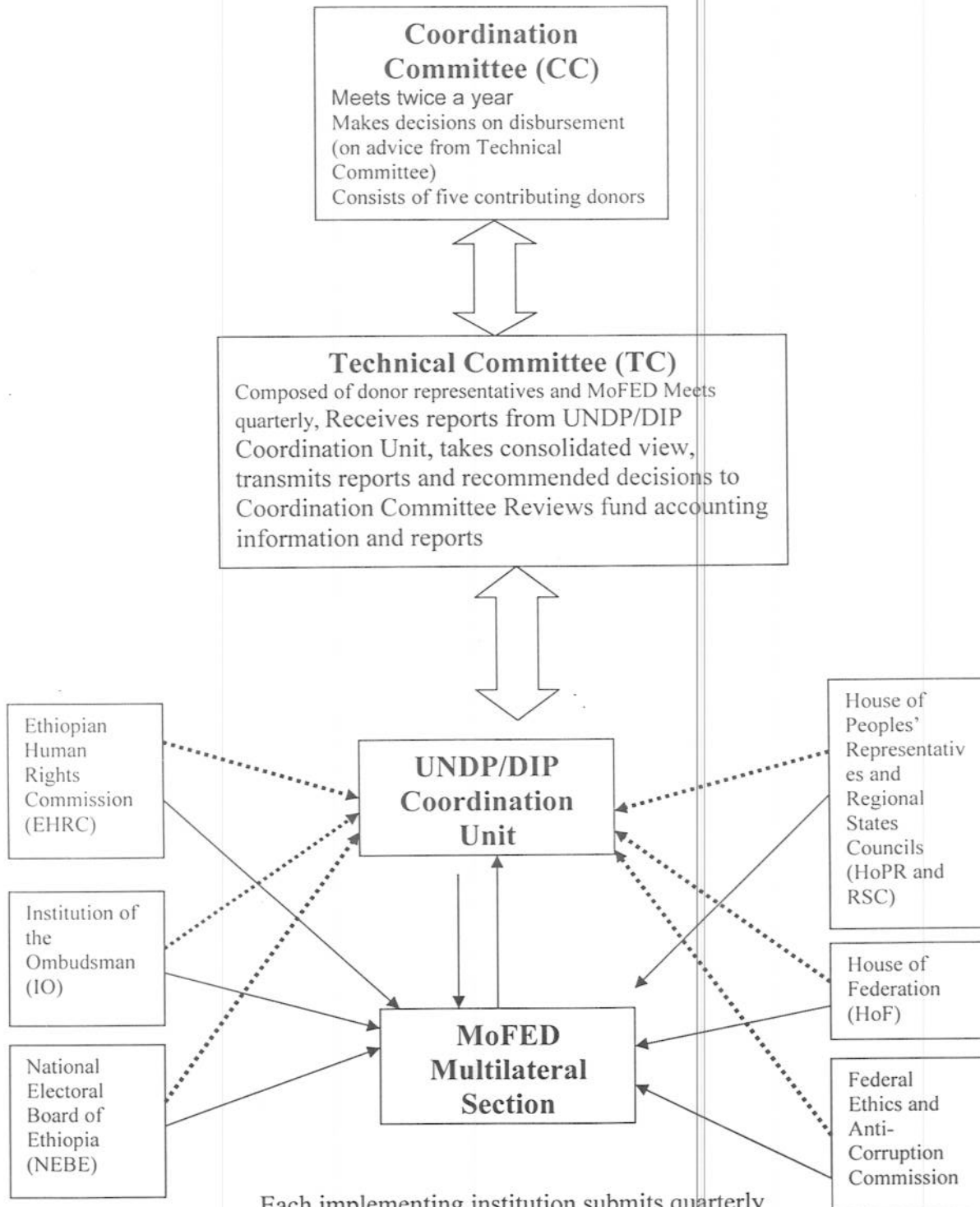


Table 5.1.2: CONTRIBUTIONS ⁴			
DONOR	AMOUNT (USD \$ Millions)		Preferred Institution
CIDA	13.6		No Distinction
DFID	20		No Distinction
UNDP	3.5		No Distinction
SIDA	5.9		No Distinction
The Netherlands	3		No Distinction
Denmark	0.5		No Distinction
Irish Aid	0.13		No Distinction
Austrian Co-operation	0.81	EHRC	
Italian Co-operation	0.34	NEBE	
Norway	4.1		No Distinction
USAID	1.458	HoPR/RSCs, HoF RCs, NEBE	
OHCHR	0.1	EHRC	
TOTAL	53.438		



⁴ Contributing Donors with indicative amounts over five years (unless stated otherwise), as of 18 May 2007.

Annex 1: Management and reporting structure of Programme Committees



Each implementing institution submits quarterly reports to MoFED. MoFED will then consolidate the reports and submit to the UNDP/DIP coordination unit. The quarterly report will be reviewed by a team composed of representatives from the implementing institutions, the DIP Coordination Unit and MoFED. The team meets quarterly.

