Title: Nauru Electoral Support Project (NESP)

Project Number: 00111434

Date: 20th June, 2018

UNDP CORPORATE STANDARD	IRMU Comment	Clearance Status
Use of correct UNDP standard template	Correct Project document template is used	Cleared
Results Based Management	Baseline, Targets and Indicators are SMART (Specific, Measurable, attainable, relevant and timebound). It's in RBM language - Results Resources Framework incorporated - Monitoring and Evaluation Plan incorporated - Risk Analysis incorporated	Cleared
PrePAC and LPAC	PrePAC and LPAC has been held and subsequent actions taken in document as well as in QA	Cleared
Budget and Multiyear workplan	- Budget has been cleared by IRMU, actuals have been input in ATLAS - Multi work plan included	Cleared
ATLAS Entry Project Quality Assurance	- All ATLAS entry has been completed and verified	Cleared
Quality Assurance on Corporate Planning System	- Quality assurance has been completed on CPS, however will be approved ones signed document is uploaded	Cleared, follow up required to get QA approved in system ones prodoc is approved
Attachments	1. QA (Design and Appraisal) 2. SESP 3. Risk Analysis 4. Project Board Terms of Reference	Cleared

Quality Assurance: _____ 25/06/2018

Mahezabeen Khan (Mezi)

M&E Analyst

Clearance Signature: _____ 25/06/2018

Asenaca Ravuvu

Team Leader (IRMU)

Suggest El.Commissioner rigns.

1. CD/TL to decide on whether Govt. should sign. or to follow new PPM re-write which doesnt require signing

2. In absence of signing, Project Board minutes agreeing to prodoc/other docs. showing consensus on project to be attached.

UNITED NATIONS DEVELOPMENT PROGRAMME

Nauru Electoral Support Project

Project Title: Nauru Electoral Support Project (NESP)
Project Number: 00111434
Implementing Partner: United Nations Development Programme (UNDP)
Start Date :   01 July 2018   End Date: 30 June 2020   PAC Meeting date: 11 June 2018

Empowered lives.
Resilient nations.

Brief Description
The development challenge that the Nauru Electoral Support Project seeks to address is to improve effective governance in Nauru by strengthening the capacities of the Electoral Commission to achieve a better informed electorate and a more transparent and inclusive electoral process, including facilitating greater participation of women in the electoral process. This will be achieved through supporting civic and voter education; technical capacity development; legal advisory support; and assistance towards a gender strategy. UNDP will deliver the project through a Direct Implementation Arrangement under the guidance of the Project Board.

Contributing Outcome (UNDAF/CPD, RPD or GPD): **United Nations Pacific Strategy Outcome 5**: By 2022, people and communities in the Pacific will contribute to and benefit from inclusive, informed and transparent decision-making processes, accountable and responsive institutions, and improved access to justice **Indicative Output(s):** Output 1: Civic education and voter awareness for the electorate strengthened (GEN 2) Output 2: Enhancement of the capacities of the Electoral Commission (GEN 2) Output 3: Electoral legal advisory support to the Electoral Commission (GEN 2) Output 4: Women's electoral participation enhanced (GEN 3)	**Total resources required:**		**USD1,173,070.10**
	Total resources allocated:	**UNDP TRAC:**	
		Donor:	TBC
		Donor:	TBC
		Government:	TBC
		In-Kind:	TBC
	Unfunded:		

Agreed by (signatures):

Government of Nauru	UNDP
Print Name: The Electoral Commissioner.	Print Name: Country Director and Head of Pacific Regional Programme and Policy, UNDP Pacific Office in Fiji.
Date:	Date: 25/6/2018

I.   DEVELOPMENT CHALLENGE

Nauru's Constitution which was promulgated in 1968 when the country gained independence provides for a parliamentary democracy through a unicameral parliament comprising 19 members of parliament, elected every three years by universal suffrage in multi-seat constituencies. A new Election Act was passed in March 2016 establishing an independent Electoral Commission which organised the first general elections under the new Act on 9 July 2016. Prior to 2016, elections were conducted by the Chief Secretary of the Government of Nauru.

Nauru is a small island with a population of about 10,000 people out whom 6,886 were on the voter roll[1] in 2016. Voting is compulsory for citizens aged 20 years and above and voter turnout in 2016 was 94%[2]. While turnout may have been high, concerns have been raised whether voters understood the importance of their vote and if the electorate was sufficiently educated to make informed choices. The level of knowledge about democratic and electoral processes is considered to be low throughout and especially low amongst younger people. There are no formal political parties in Nauru and candidates run as independents campaigning by door-knocking (house-to-house visits) and community-organised face-to-face 'platforms'. Candidates are not allowed to campaign on state-run media which is intended for government purposes. International observer groups that observed the 2016 general election – the Commonwealth Observer Mission and the Pacific Islands Forum – recommended more voter education and access to state-run media for all candidates.

Women's representation in Nauru's Parliament is very low. Nauru has had a total of three women MPs in its history. Currently, only two out of the 19 MPs (10.5%) are women. In the 2016 general election, only four out of 67 candidates were women. This very low level of representation in parliament is at odds with much higher levels of representation in the public service where women hold senior positions. Cultural barriers may exist that discourage women from standing for parliament but practical barriers also serve to discourage greater numbers of women candidates. For educated and qualified Nauruans the public service is the main source of employment. A member of the public service seeking to stand as a candidate is required to resign for a period of time which results in a loss of income. The high financial cost of campaigning is also a barrier.

The Electoral Act established the structure of the Electoral Commission comprising three members - the Electoral Commissioner and two Deputy Electoral Commissioners. All three were appointed by the President on advice of Cabinet in March 2016 for a period of four years. None of them had prior electoral experience and it is a remarkable achievement that they were able to organise a general election only four months after their appointment. International observers commended the Electoral Commission for the successful conduct of the 2016 election and a by-election held in January 2017 was also considered to be professionally conducted by many stakeholders. The Electoral Commission received considerable assistance from a Technical Advisor provided by the Commonwealth Secretariat and a Legal Advisor funded by the Government. An Electoral Taskforce Committee was set up to review observer recommendations and the Committee is considering several recommendations to be submitted to Cabinet that address matters such as voter transfers, proxy voting and the requirement to resign from public service. The Electoral Commission would like to introduce a provision for scrutineers to increase transparency of the electoral process; initiate media regulations for equal access to state-run media for all candidates; review and update its practices, policies, procedures and manuals; be trained to fully manage the voter roll; and further develop capacity within its office. Without advisory support for the upcoming election, the Electoral Commission will struggle to implement recommendations and initiatives, that if implemented, would contribute to more transparent and inclusive elections and build greater confidence in the electoral process and in the Electoral Commission.

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[1] 'Nauru General Election, 09 July 2016: Post-Election Report 2016' submitted by the Electoral Commission to the Parliament of Nauru, 30 September 2016, p 3.

[2] ibid

1.1 National Request

In a letter dated 21 June 2017, the Electoral Commission of Nauru requested electoral assistance from the United Nations in the lead up to the next elections in the country envisaged for 2019. In response to the request, the UN Focal Point for electoral assistance, the Under-Secretary General for Political Affairs, deployed a "Needs Assessment Mission" (NAM) to Suva, Fiji from 23 to 24 August 2017 and Nauru from 25 to 30 August 2017. The NAM recommended the provision of electoral assistance in the following priority areas: 1) Civic education and voter awareness for the electorate; 2) Enhancement of the capacities of the Electoral Commission; 3) Electoral legal advisory to the Electoral Commission; 4) Women's electoral participation; 5) Support to the Electoral Commission to promote the electoral participation of people with disabilities (PWD); 6) Enhancement of the voter roll; and, 7) Prevention and mitigation of electoral violence.

The NAM recommended the formulation of an electoral assistance project to cover the electoral cycle for the upcoming election expected in June 2019 and follow up post electoral activities after 2019. Any extension of the project would be subject to the approval of the UN Focal Point for electoral assistance. The outputs and activities specified in this project document reflect the parameters outlined in the NAM report.

1.2 Political and Electoral Framework

Nauru's President is elected by parliament from among its members. The 19 MPs represent eight constituencies comprising 14 administrative districts. The number of representatives for each constituency is based on population numbers (six constituencies have two MPs each, two other constituencies have four and three MPs each). Executive authority is vested in the cabinet, which consists of the President and five or six MPs appointed by the President.

Nauru's electoral process is guided by a set of constitutional, legislative and regulatory provisions governing different aspects of the electoral process. The electoral framework comprises provisions for parliamentary elections including by-elections and the process of referendum. Parliament has the power to increase but not reduce the number of members in parliament, and may also by legislation change the constituencies and the number of members for each constituency. The Electoral Act was passed in March 2016 and four amendments have been passed since then. Under the Electoral Act, the Electoral Commission may formulate regulations in certain areas including the registration of voters, registration of political parties, nomination of candidates, conduct of polling, counting and tabulation of results, proxy voting, voting by people who are unable to attend a polling station, filing and adjudication of complaints and appeals, the fees for applications or services provided under the Act, and any matter necessary or convenient for giving effect to the Act. The Supreme Court is the Court of Disputed Returns. Electoral petitions may be filed either by a candidate or a person who had electoral active capacity in the election subject of the petition.

Registration of voters is automatic for Nauruan citizens who attain the voting age of 20 years provided that their names have already been included in the civil registry maintained by the Registrar of Births, Death and Marriages (RBDM). Nauru citizens outside the country are allowed to vote by proxy. The electoral system in Nauru is a Modified Borda Count.

1.3 Women's Political Participation

Women's representation in parliament is very low. Nauru has had a total of three women MPs in all its history. Only four out of the 67 candidates contesting the 2016 general election were women. One woman was elected in the 2016 general election, and another elected in the January 2017 by-election[3]. This means that currently only two out of 19 MPs are women (10.5%). This low number is at odds with much higher levels of women's representation at senior levels of government. While cultural barriers may play a role in

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[3] As per the law then, the by-election was conducted using a different vote counting method. Following the by-election, the Election Act was amended to ensure that all by-elections use the same vote counting method as the general election. If the vote counting method for the general election had been used in the by-election in January 2017 the result may have been different.

discouraging more women to run for parliament, there are also more practical barriers such as the high financial cost of campaigning and the requirement that candidates resign from the public service for a period of time resulting in a loss of income. The requirement to resign is under review by the Electoral Taskforce Committee and if the recommendation for special election leave with pay for women is taken up and implemented this would encourage more women to stand as candidates. Civic and voter education to highlight the rights and achievements of women together with training for aspiring women candidates to strengthen their confidence and skills to run an effective campaign could see more women elected.

1.4 Development Challenge

Civic education and voter awareness for the electorate

Voting is compulsory in Nauru and voter turnout for the 2016 general election was an impressive 94%. However, the Needs Assessment Mission (NAM) found that the level of knowledge about democratic and electoral processes was low throughout and many of the younger people the NAM met seemed to be apolitical. There was scant knowledge of the workings of the parliament; the fundamentals of the electoral process; and their fundamental rights and responsibilities as citizens. Similar concerns were reiterated to the project formulation mission and interlocutors proposed that civic education should be introduced in schools to teach the young before they attain voting-age. For the upcoming election, interlocutors recommended that voter education emphasize the importance of voting wisely, the secrecy of the ballot, the rights of women, and ensure that voters are better informed about candidates.
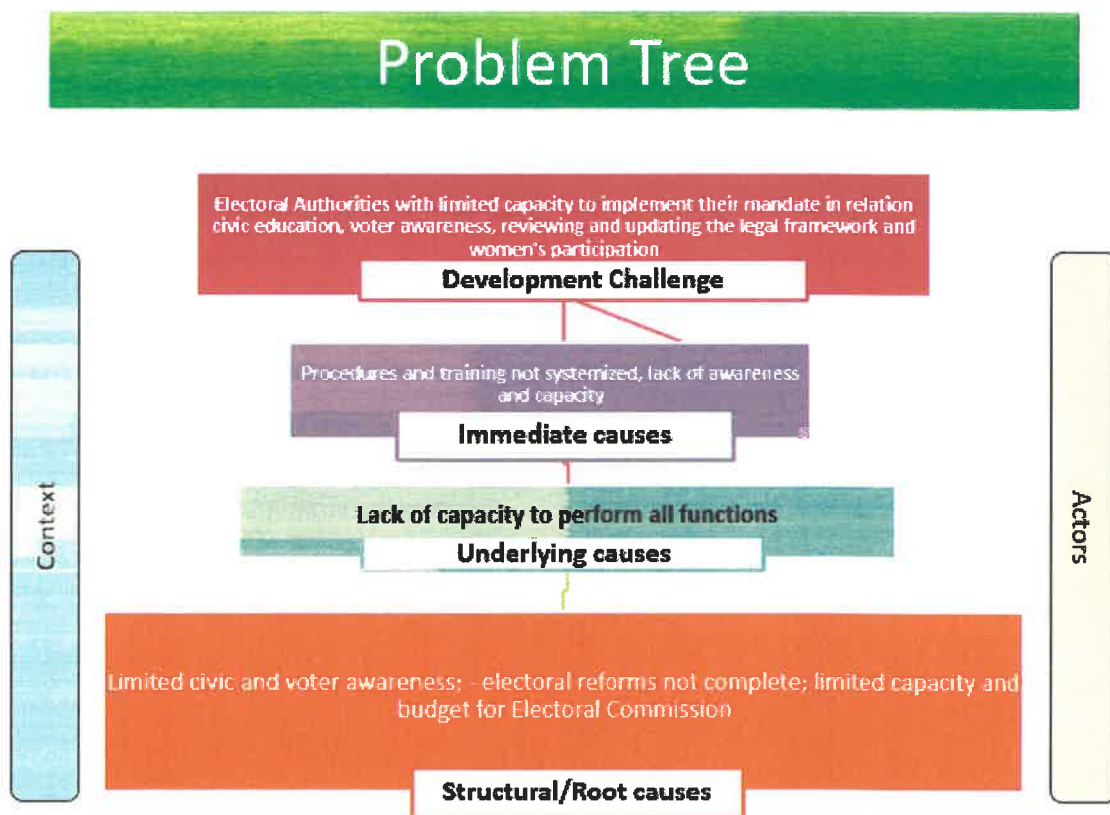

Figure 1: Problem tree showing the causal links among the various elements that contribute towards the development challenge

Candidates campaign through door-knocking or house-to-house visits and are given the opportunity to address voters through community organised 'platforms' in each constituency. Nauru's state-run media is limited to government use only and its use for campaigning is not allowed. Concerns were raised that many voters are not well-informed about all candidates and many are unable to attend the 'platforms' to hear first-

hand from candidates. Furthermore, voters in constituencies with larger numbers of candidates are unlikely to receive visits by all candidates. The Electoral Commission is considering introducing a regulation to allow all candidates equal access to state-run media.

In 2016, with only four months between its appointment and polling day, the Electoral Commission did not have time to conduct extensive voter education. It conducted two information sessions using PowerPoint for the voting public which were not well attended because of late notifications or lack of, and conflict of timing with other events. Nauru TV worked with the Commission to produce two short TV productions on how to apply for transfers and how to cast a vote. The Commission also arranged for weekly TV and radio announcements on matters such as voter ID, proxy voting, indelible ink, and registration, as well as radio talk shows[4]. For future elections, the Electoral Commission intends to expand the scope of its voter education so that more voters are better informed, and to use a range of different means to engage with them: radio, TV, print, social media, mock-polling, skits, and face-to-face gatherings including targeted outreach to women, youth, the illiterate and semi-literate, and people with disabilities.

The challenges are twofold: a longer-term challenge to ensure that younger generations are educated at school to become responsible citizens and voters of the future; and a more immediate challenge of ensuring that current voters are better educated about the importance of voting wisely and are able to make an informed choice at the polling booth. The development of a civic education curriculum for schools will require specialist expertise and collaboration between the Electoral Commission, Ministry of Education, Parliament and other relevant institutions and organizations. The Electoral Commission currently does not possess the expertise and experience to design a comprehensive voter education strategy.

Enhancement of the capacities of the Electoral Commission

The Electoral Commission is a relatively new institution established in March 2016. The Electoral Commission has three Commissioners and five staff (Executive Associate, Electoral Registration Officer, Finance/Procurement Officer, Cleaner, and Handyman) none of whom had electoral experience prior to the 2016 election. For the 2016 election, the Commission was assisted by a Technical Advisor provided by the Commonwealth Secretariat and a Legal Advisor funded by the Government.

As part of its preparations for the upcoming general election in 2019, the Electoral Commission will be reviewing and updating its policies, practices, procedures and manuals and ensuring that they are consistent with any new amendments and/or legislation. The Electoral Taskforce Committee is considering several recommendations including proposed changes to transfers, proxy voting and the three-month resignation rule. The Electoral Commission is also considering introducing a provision for scrutineers to increase transparency of the electoral process and introducing a new regulation for candidates to have equal access to state-run media.

The Electoral Commission manages the voter roll which was created for the 2016 general election by adding information from the Birth, Deaths and Marriages register to the 2013 voter roll and removing duplicates. The Electoral Commission's former Technical Advisor provided the necessary expertise to create the database. While the Commission is confident it can continue to carry out data entry of new names, it is much less confident of its capacity to trouble-shoot potential problems. According to an MoU between the Electoral Commission and the Registrar of Births, Deaths and Marriages (RBDM) updates to the Births, Deaths and Marriages registry are to be shared regularly with the Commission. However, the RBDM is experiencing its own challenges affecting its ability to share updates in a timely manner. The Electoral Commission is concerned about the security of its website and databases and intends to acquire its own server and upgrade its website.

The Electoral Commission has not had formal training or capacity development in electoral administration, aside from conferences and seminars abroad. It would benefit enormously from a comprehensive electoral

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[4] 'Nauru General Election, 09 July 2016: Post-Election Report 2016' submitted by the Electoral Commission to the Parliament of Nauru, 30 September 2016, p 13-14.

administration workshop customised for the Commission that covered all aspects and principles of electoral administration including the sharing of regional and international good electoral practices.

Electoral legal advisory support to the Electoral Commission

The Electoral Commission currently has no electoral legal expertise. Although the Electoral Act was passed in 2016, there have been four amendments so far and more amendments are likely before the next general election in 2019. The Electoral Taskforce Committee has made several recommendations including ones on voter transfers, proxy voting and the public service resignation requirement that if taken up will require changes to the Electoral Act and/or related legislation. The Electoral Commission will be introducing scrutineers to increase transparency and build greater confidence in the electoral process as well as initiating regulation to ensure equal access to the media for all candidates. These are positive measures that will require a Legal Advisor to support the Electoral Commission in legal drafting and interpretation. The Commission will also require legal advice in response to electoral disputes and complaints.

Women's electoral participation

Although women are represented at senior levels of government, only two out of the 19 MPs are women. Only four women contested the 2016 general election out of 67 candidates. Cultural beliefs are seen as one of the barriers to greater women's representation with women discouraged from running as candidates. A more practical barrier is a financial one. Women are thought to be more adversely impacted than men by the high cost of financing an electoral campaign and the loss of income from having to resign from the public service to stand as a candidate. The number of women elected to parliament in the upcoming 2019 election could conceivably decrease if no action is taken to address these barriers. Civic and voter education to promote women's rights and highlight the important role that MPs have in issues that concern women can encourage more women to stand for office, while training of aspiring women candidates will provide them with skills and confidence to run an effective campaign. The Electoral Taskforce Committee has recommended that women candidates be allowed special election leave with pay instead of having to resign from public service positions. This should be followed up through advocacy to ensure the recommendation is taken up and implemented.

II. STRATEGY

The project will utilize an electoral cycle approach. The electoral cycle approach looks at the electoral process over time and seeks to engage with different actors and entry points throughout the cycle, rather than channeling resources and technical support only towards the delivery of a given electoral event, at intermittent and disconnected points in time. The adoption of the electoral cycle approach helps implement electoral assistance within the broader framework of democratic governance with a pro-active and strategic approach. As such the electoral cycle approach aims to contribute to the process of creating and sustaining an environment for inclusive and responsive political processes. As part of this approach all UNDP electoral projects must have a component on gender, and this project will seek to mainstream gender across all outputs based on a global knowledge base and locally driven research contextualizing the issues and related activities. As the primary means through which people express their preferences and choose their representatives, elections are a powerful democratic governance tool of voice, accountability and, ultimately, human development.
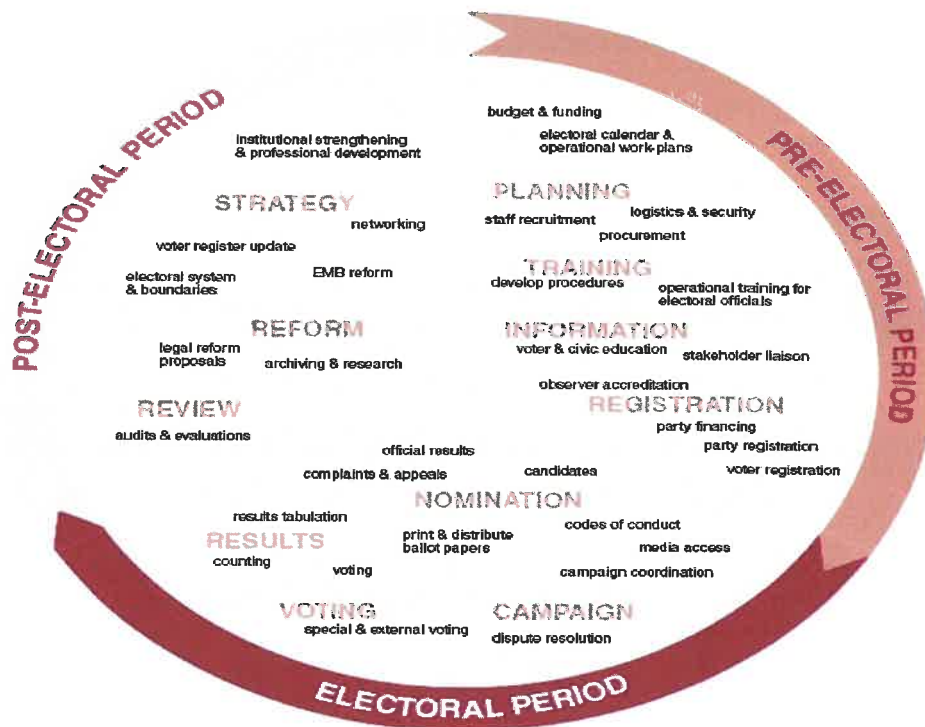
Figure 2: The electoral cycle approach

To ensure pre-electoral, electoral and post-electoral support is systematic and contributes to the overall goal of increased capacity of the electoral authorities to perform their mandate, a strategic electoral cycle approach will be taken..

A full-time experienced Technical Advisor will be co-located within the Electoral Commission's office to provide day to day support and advice to Commissioners and staff. This includes the provision of advice on a wide range of electoral matters such as electoral administration; voter roll management; voter education; the review and updating of policies, practices, procedures and manuals ensuring consistency with any new legislative changes; gender mainstreaming; measures to enhance transparency, integrity and inclusiveness; promoting the electoral participation of people with disabilities; training of polling officials; stakeholder engagement; capacity development; and the prevention and mitigation of electoral violence. The Technical Advisor will share regional and international good electoral practices with the Commission and will be proactive in the transfer of knowledge with a view to phasing out advisory support by the end of the project.

The Technical Advisor will be supplemented by consultants and short-term experts as required (Legal Advisor, Civic education curriculum writer, IT specialist, web designer, graphic designer, Gender Advisor, Voter roll management trainer, and Electoral administration capacity development trainer). The Technical Advisor doubles up as project manager to ensure coordination and oversight of consultants and will maintain close follow up on all aspects of project activities and ensure regular reporting to the Project Board, UNDP, UN Electoral Assistance Division (EAD) and donors on the progress of project activities.

The project will also ensure the office of the Electoral Commission has effective links to electoral authorities in the region and globally and professional networks to building the institutional and individual staff capacity of the Electoral Commission. Gender considerations will be reflected under each component.

UNDP will work together with other UN agencies and any other institution offering electoral related assistance to ensure there are cost effective synergies and to avoid any duplication of effort. The UN will coordinate international electoral assistance to Nauru. The UN Resident Coordinator will take the lead in coordinating election related support provided by different UN agencies as well as the other efforts of donor partners. Coordination at the strategic level with the diplomatic community and donor partners will be led by the Resident Coordinator.

The Electoral Commission's operating costs and the cost of holding the 2019 general election will be funded by the Government. The project will fund the cost of advisory services that are outside the Government's budget, the design and roll-out of a civic education curriculum in schools, and a small number of workshops for aspiring women candidates, targeted voters, media training on electoral reporting, and the Electoral Commission.

Theory of Change

To respond to the development challenge that has been described in the earlier section, the project will apply a Theory of Change (ToC) process to define how and why change will take place through the project based on the assumptions underlying the development challenge.[5] The ToC promotes effectiveness through predicting Change Pathways to inform planning with evidence of what has worked elsewhere based on available knowledge and helps to think about longer-term changes to embed sustainability of project results.

Through the initial UN Needs Assessment conducted in 2017, there exists a fair understanding of the development challenges faced by the Nauru Electoral Commission.
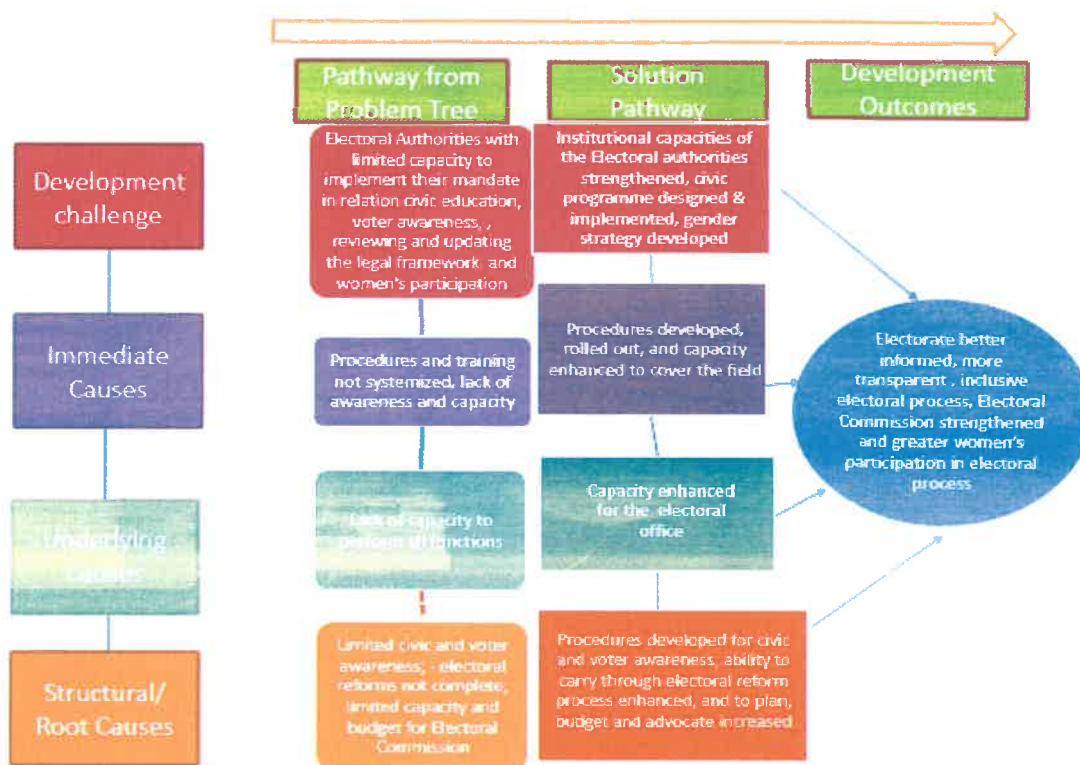

Figure 3: From a problem to a solution pathway

Relationship to UNDP Strategic Plan and UNDAF

The project falls directly under the UNDP Strategic Plan 2018 – 2021 and responds to Outcome 2 Accelerate structural transformations for sustainable development. The project corresponds to Ouput Indicator 2.2.2.1 Number of electoral bodies (EMBS) with strengthened capacity to conduct inclusive and credible elections and responds effectively to Output 2.2.2.2 Women's participation in elections.

The project directly contributes to the UNDP Sub-regional Programme Document (SRPD) for the Pacific Island Countries and Territories 2018-2022 and responds to both Output 5.1 Increased voice and more inclusive participation by women, youth and marginalized groups in national and subnational decision-making bodies that are more representative, as well as Output 5.2 Increased transparency and accountability in governance institutions and formal and informal decision-making bodies.

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[5] See: UNDP, "A Guide to the Application of Theories of Change to UNDP Programmes and Projects", 2016.

The project corresponds directly to the United Nations Pacific Strategy 2018-2022 Outcome 5: Governance and Community Engagement. It also contributes to Outcome 2: Gender Equality.

Output 1: *Civic education and voter awareness for the electorate strengthened*

The NAM recommended that a strong and sustainable civic education programme is an important basis for building further confidence in the electoral environment in Nauru. In line with this approach, the focus in Output 1 is twofold: investment in the future to ensure that younger generations are educated at school to become responsible citizens and voters of the future; and for the upcoming election in 2019 ensure that current voters are better informed about all aspects of the electoral process, the importance of voting, and are able to make an informed choice at the polling booth.

To educate future voters, a civic education curriculum for schools will be developed and rolled-out through a collaboration between the Electoral Commission, the Ministry of Education, parliament and relevant institutions and organizations with inputs from a diverse range of stakeholders. The curriculum would cover topics such as Nauru's system of government; the Constitution; democratic principles; citizen's rights and responsibilities; human rights including women's rights and the rights of people with disabilities; the roles of parliament, state institutions and the judiciary; women's representation; and the electoral process.

For the upcoming election in 2019, the Electoral Commission will be supported to design and implement a multi-faceted civic education and voter awareness strategy. The strategy will ensure that efforts are made to inform the electorate about all aspects of the electoral process including voter registration, candidates, voting, counting, electoral offences and complaints; the importance of voting; secrecy of the ballot; and women's rights. Multiple and creative ways will be used to engage voters through radio, TV, print and social media; the Electoral Commission's website; mock polling; skits; video and/or animation; and community gatherings and events. The strategy will also target illiterate and semi-literate voters and people with disabilities to ensure their needs are addressed. Procedures for those requiring assistance to cast their vote will be explained. After the 2019 election, a review of the civic and voter education strategy will be conducted and lessons learned incorporated into future planning.

Training for the media on electoral reporting will be organised to encourage more coverage of electoral-related events,accurate and balanced reporting including the role of the media in providing gender sentisive contentand in promoting women's participation as voters and as candidates for elections.

Output 2: *Enhancement of the capacities of the Electoral Commission*

In Output 2 advisory and expert support will be provided to the Electoral Commission to review and update policies, practices, procedures and manuals; to implement new initiatives to increase transparency, integrity and inclusiveness; to advise on training of electoral workers and other stakeholders on the rights of people with disabilities; to advise on the prevention and mitigation of electoral violence; and to manage the voter roll. The purchase and installation of IT and server equipment is included in this output to enable improved security for the voter roll and other Commission databases.

A capacity development workshop on electoral administration customised for the Electoral Commission will be conducted to deepen the Commission's knowledge of all aspects of electoral administration and to share regional and international good electoral practices.
A full time and experienced Technical Advisor, co-located within the Electoral Commission, will provide day to day support and advice to commissioners and staff on a wide range of electoral matters. The Technical Advisor will be supplemented by other consultants and short-term experts as needed. A proactive approach will be taken to ensure the transfer of knowledge so that advisory support is phased out by the end of the project.
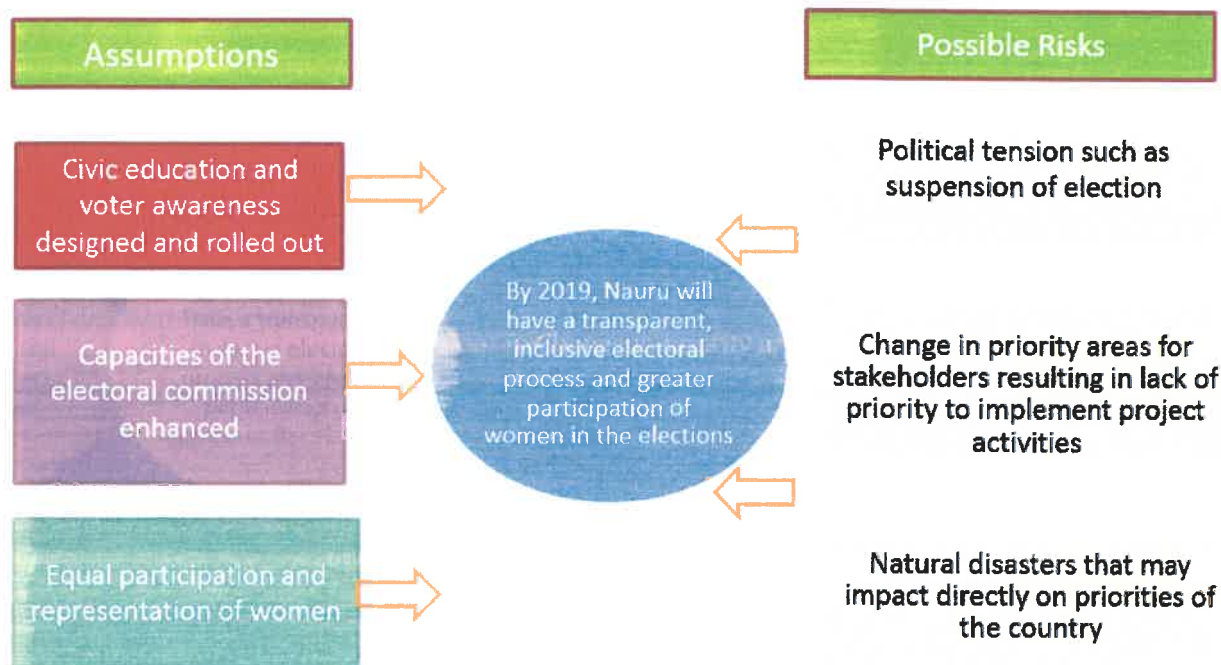
Figure 4: Diagram showing the assumptions and possible risks of the project

Output 3: *Electoral legal advisory support to the Electoral Commission*

A Legal Advisor will provide advice to the Electoral Commission on electoral related legislation and amendments, help draft regulations including a possible new regulation on the media, and advise the Commission in response to electoral disputes and complaints. The Legal Advisor will work closely with the Technical Advisor to ensure that the Commission's practices, procedures and manuals are consistent with electoral legislation and any new amendments.

Output 4: *Women's electoral participation enhanced*

A Gender Strategy for the Electoral Commission will be developed. In line with the Gender Strategy, the Technical Advisor will support the Electoral Commission to ensure gender sensitivity is mainstreamed at all levels of the electoral process including in legal amendments, regulations, procedures, manuals, civic and voter education, and in the Electoral Commission's own capacity development. Support will also be provided to the Electoral Commission's initiatives aimed at working with women candidates.

III. RESULTS AND PARTNERSHIPS

Expected Results

The overall expected result is strengthening Nauru's democratic development through having a better informed electorate, a more transparent and inclusive electoral process, a strengthened Electoral Commission, and greater participation of women. The indicative activities highlighted below seek to achieve the following sub-results:

Output 1: *Civic education and voter awareness for the electorate strengthened*

Indicative Activities:

- Design, development and roll-out of a civic education curriculum for schools through a collaboration between the Electoral Commission, Ministry of Education, parliament and relevant institutions and organizations with inputs from a diverse range of stakeholders. The project will provide technical expertise to design the curriculum, produce teaching materials and conduct teacher training workshops. The curriculum will pay particular attention to gender inclusion, such as portraying women in active roles as voters, candidates and electoral staff or volunteers.
- Design, development and implementation of a multi-faceted civic education and voter awareness strategy for the Electoral Commission with the aim of promoting an informed electorate and greater confidence in the electoral process. The strategy will seek to inform and educate voters on the Electoral Act, voter registration, candidates, secrecy of the ballot, the voting process, counting procedures, electoral offences, the complaints process, and measures that enhance transparency and integrity of the electoral process. It will include the following and seek collaboration with other institutions, organizations, civil society and community leaders as needed:
  - o The use of radio, TV and print media to disseminate information on the electoral process as well as information on candidates and their policies
  - o The use of social media and the Electoral Commission's website
  - o Face to face information sessions in collaboration with community representatives and civil society groups
  - o Use of mock polling, skits and video (and/or animation)
  - o Events and information targeted at women, youth, people who are illiterate or semi-literate, and people with disabilities
  - o Post-election lessons learning through focus group interviews to further improve future voter education
- Media training on electoral reporting with at least one workshop for reporters and journalists

Output 2: *Enhancement of the capacities of the Electoral Commission*

Indicative Activities:

- A Technical Advisor to provide the Electoral Commission with day to day advice and support on a broad range of electoral matters, supplemented by short term experts as needed
- Review and updating of existing policies, practices, procedures and manuals to ensure consistency with legislative changes and to adopt measures to strengthen transparency, inclusiveness, integrity and gender sensitivity
- Improved voter roll management and security, including the purchase and installation of IT and server equipment
- Training on maintaining the voter roll
- Improved website design and security
- A capacity development workshop on electoral administration customised for the Electoral Commission that covers all aspects and principles of electoral administration and shares regional and international good electoral practices.

Output 3: *Electoral legal advisory support to the Electoral Commission*
Indicative Activities:

- A Legal Advisor to provide advice to the Electoral Commission on electoral related legislation, draft regulations, and provide legal advice to the Commission in response to electoral disputes and complaints.

Output 4: *Women's electoral participation enhanced*

<u>Indicative Activities:</u>

- Development of a gender strategy for the Electoral Commission to ensure gender mainstreaming at all levels of the electoral process, including the development of a comprehensive gender-sensitive legal, regulatory, procedural, operational and outreach (incl. civic and voter education) framework for the electoral process,
- Workshop in support of the Electoral Commission's initiatives aimed at working with women candidates

Resources Required to Achieve the Expected Results

UNDP has a clear advantage to implement this project based on global technical expertise in the area of inclusive and effective democratic governance, which includes successful electoral cycle projects globally, regionally and at the country level. UNDP is a global leader in electoral assistance, currently implementing projects and activities in over 65 countries globally to strengthen the capacity of electoral management bodies. In the Pacific, UNDP has been working on electoral assistance in Papua New Guinea, Bougainville, Solomon Islands, Tonga, Samoa and Vanuatu. The project will be in a position to leverage UNDP support through governance expertise from the UNDP Pacific Office..

Partnerships

The main partner will be the Nauru Electoral Commission. At the same time, the project and the Commission will need to form partnerships and relationships with other government agencies including the Ministry of Education, Media Department, Ministry of Women's Affairs and the soon to be established Gender Unit under the President's Office.

The project will work closely with other UN agencies in the area of democratic governance and human rights, as well as international organisations working on electoral assistance in Nauru and the Pacific.

Risks and Assumptions

Project risks are comprehensively identified in the Risk Log attached. The project assumptions are detailed in the Strategy section of this Project Document.

Stakeholder Engagement

Different stakeholders were consulted in the development of the project document, including the Electoral Commission and representatives from the government and civil society. Stakeholders for the project include the state actors identified in the sections above, and also through this work the citizens of Nauru.

South-South and Triangular Cooperation (SSC/TrC)

The Pacific Islands and Australia and New Zealand Electoral Authorities (PIANZEA) Network, of which Nauru is a member, supports the peer-to-peer exchange of knowledge on elections in the region. This network is a valuable resource to be utilized for South-South Cooperation in the region on a variety of technical issues. UNDP will liaise closely with EAD including on best practices and global experience where appropriate.

Consideration will also be given to South-to-South cooperation initiatives with other electoral management bodies in the region facing similar challenges and currently receiving UN electoral assistance, such as Solomon Islands and Vanuatu.

Knowledge

The project will support the development of a civic education curriculum; updated procedures and manuals; an updated website; and training materials on electoral administration.

Sustainability and Scaling Up

The project activities on capacity building the Electoral Commission relate to both the institutional side of the office and its staff. The aim is that by the end of the project, the electoral office is a stronger institution with sufficiently capacitated staff so that support can be phased out.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

Cost efficiency and effectiveness in the project management will be achieved through adherence to the UNDP Programme and Operations Policies and Procedures (POPP) and reviewed regularly through the governance mechanism of the Project Board. In addition, there are specific measures for ensuring cost-efficient use of resources through using a portfolio management approach. The UNDP Pacific Office in Fiji leverages activities and partnerships among a number initiatives and projects in the region. The project will ensure synergies with the regional parliamentary development project which helps to strengthen the role of parliaments in undertaking its law-making, oversight and representative functions. There are synergies as well with the regional women in politics project which aims to facilitate gender responsiveness of political institutions including access to opportunities and skills to exercise women's political rights, participate in decision-making, exercise leadership, and contribute to development processes. The project will also work closely with the electoral support projects in Vanuatu and Solomon Islands to ensure lessons learnt are shared, expertise and good practice from the region are shared and utilised for engagment with stakeholders involved in this project. For its capacity building activities, the project will utilise outside experts as well as in-house experts from within UNDP and other UN agencies.

Project Management

The project is expected to be implemented by the UNDP Effective Governance Team at the UNDP Pacific Office in Fiji through a Technical Advisor. The project will be delivered through a Direct Implementation Modality (DIM) as is the standard on United Nations Electoral Assistance. A full time technical adviser will be based in Nauru and short term technical experts with the expertise required for the various project activities will be recruited on a needs basis and provided internally by UNDP. The project's Multi-Year Work Plan provides all details of associated management expenses to be incurred over the project duration. The project should consult, as a first point of call, the electoral roster managed by the UN's EAD.

The project team for the direct implementation of the project will comprise of:

➢ Technical Adviser

➢ Administrative Officer

➢ Project Assurance Support Officer (part time, Fiji based)

➢ International Consultants as required

The associated Direct Project Costing (DPC) that will be incurred by UNDP in providing project management and technical project implementation support is effectively indicated in the Multi-Year Work Plan.

The project's Multi-Year Work Plan also includes a General Management Support (GMS) charge that covers the costs for UNDP that are not directly attributable to specific projects or services, but are necessary to fund the corporate structure, management and oversight costs of UNDP as per global UNDP practices. The GMS is applied to all projects funded by either member governments at 3% for projects implemented directly in those member countries, and at 8% for contributions from other development partners for all projects that are implemented by UNDP around the world.

In accordance with the Revised Note of Guidance on Electoral Assistance, 2010, the UNDP Country Office will submit status reports on a quarterly basis to the EAD in order to keep the Focal Point informed about the political and technical status of UN electoral assistance and facilitate EAD's support and coordination at

headquarters level throughout the project implementation. At the conclusion of the project, EAD shall receive a final project report from the Resident Coordinator/Resident Representative, within three months of the completion of the project. In order to maintain the UN electoral institutional memory, other operational documents may also be requested from the project such as operational plans, budgets, timelines, staffing tables, etc.

In line with its normal functions as part of the Department of Political Affairs, and to support the Focal Point, EAD may, at any time, (in consultation with the UNCT) conduct a mission to review progress of a programme, assess the political situation, particularly with regard to the potential for violence, and/or offer support to the Resident Coordinator/Resident Representative.

V. RESULTS FRAMEWORK[6]

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:

UN Pacific Strategy Outcome 5: Governance and Community Engagement - By 2022, people and communities in the Pacific will contribute to and benefit from inclusive, informed, and transparent decision-making processes; accountable and responsive institutions; and improved access to justice.

UNDP SRPD Output 5.1: Increased voice and more inclusive participation by women, youth and marginalized groups in national and sub-national decision-making bodies that are more representative;

UNDP SRPD Output 5.2: Increased transparency and accountability in governance institutions and formal and informal decision-making bodies.

Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:

Indicative indicator 5.1.1. Proportion of women (to men) participating as candidates in national elections

Applicable Output(s) from the UNDP Strategic Plan:

Output 2.2.2: Constitution-making, electoral and parliamentary processes and institutions strengthened to promote inclusion, transparency and accountability

Project title and Atlas Project Number: Nauru Electoral Support Project, 00111434

EXPECTED OUTPUTS	OUTPUT INDICATORS[7]	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	FINAL	

| Output 1 Civic education and voter awareness for the electorate strengthened (GEN2) | IRRF Indicator 2.2.2.5 Country with strengthened environment for civic engagement, including legal/regulatory framework for civil society organizations to function in the public sphere and contribute to development, and effective mechanisms/platforms to engage civil society (with a focus on women, youth or excluded groups).\n\n**Project-specific results indicators**\n1. Number of civic education strategies developed.\n\nDegree of effectiveness to be assessed on the following rating scale\n\n1= Low\n2= Medium\n3= High | Post capacity building and training workshop reports. Evaluation and feedback sheets by participants of capacity building activities. Monitorin g and evaluation missions. | 0 | 0 | 2018 | 0 | 1 | 1 | | | | Project Team through data and information collection.\n\nTechnical specialists through training activities. |

Output 2 Enhancement of the capacities of the Electoral Commission (GEN2)	IRRF Indicator: 2.2.2.1. Number of Electoral Management Bodies (EMBs) with strengthened capacity to conduct inclusive and credible elections. **Project-specific results indicators** Extent to which the capacity of the Electoral Commission in Nauru strengthened to conduct inclusive and credible elections (modified IRRF Indicator) To be assessed on the following rating scale: 0=UNDP is not building capacity of the electoral authorities 1=Capacity has not improved 2= Capacity very partially improved 3= Capacity partially improved 4= Capacity largely improved	*Data from pre-project voter registry.*	0	2018	0	3	3	Project Team through data and information collection. Technical specialists through training and outreach activities.

Output 3 Electoral legal advisory support to the Electoral Commission (GEN2)	IRRF Indicator: 2.2.2.1 The extent to which the capacity of the Electoral Management Body in Nauru is strengthened to conduct inclusive and credible elections. (modified indicator) **Project-specific results indicators** 1. The number of policies, practices, procedures and manuals reviewd and updated to reflect principles of transparency, integrity and inclusiveness. To be assessed on the following rating scale: 0=UNDP is not building capacity of the electoral authorities 1=Capacity has not improved 2= Capacity very partially improved 3= Capacity partially improved 4= Capacity largely improved	Data from Parliamentary Secretariat Data from CSOs and NGO platforms or networks. Project Activity Reports. Media reports.	0	2018	0	1	1		Project Team through data and information collection. Technical specialists through training and outreach activities.

Output 4 Women's electoral participation enhanced (GEN3)	2.2.2.2. Women's participation in elections **Project-specific results indicators** 1. Proportion of women in the voter registry	Post capacity building and training workshop reports. Evaluation and feedback sheets by participant s of capacity building activities. Monitorin g and evaluation missions Reports from electoral manageme nt body	TBC	2018	5% increase	10% increase	N/A			Project Team through data and information collection. Technical specialists through training and outreach activities.

VI.   MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: *[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of	Annually, and at the end of the project			

		(final report)	
		progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	
Project Review (Project Board)		The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Twice per year	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.

VII. MULTI-YEAR WORK PLAN [9]

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET		
		2018	2019	2020		Funding Source	Budget Description	Amount

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[8] Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

[9] Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

Output 1 *Civic education and voter awareness for the electorate strengthened (GEN2)*							
1.1 Design, development and roll-out of a civic education curriculum for schools through close collaboration between the Electoral Commission, Ministry of Education, Parliament and other relevant institutions or organizations with inputs from stakeholders. Includes design of the curriculum, production and printing of teaching materials, and teacher training workshop.	32,905	66,655			UNDP	International Consultant, National Consultant, Travel and DSA, Graphic Design & Printing, Workshop	99,560

1.2 Design, development and implementation of a multi-faceted civic and voter awareness strategy by the Electoral Commission with the aim of promoting an informed electorate and building greater confidence in the electoral process.	25,540	30,000	UNDP	International Consultant, Travel and DSA, Graphic Design & Printing, Workshops & Events	55,540
1.3 Media training on electoral reporting for reporters and journalists	18,405		UNDP	International Consultant, Travel and DSA, Workshop	18,405
1.4 Direct Project Costs[10]	2,500	5,000	UNDP	Operational costs and Service Charges	7,500
1.5 Effective technical advisory services and project management support.[11]	39,162.88	78,325.75		Staffing costs (local & International)	177,488.63
Sub-Total for Output 1	**100,107.88**	**198,385.75**	**0**		**298,493.63**

[10] Operational Costs (Finance and Procurement), Common Service Charges, and UNDP Communication and Programme Finance.

[11] International senior technical adviser to the project, part time project manager (Suva based) and administrative assistant implementing the project.

Output 2 Enhancement of the capacities of the Electoral Commission (GEN2)							
2.1 Technical advisory services.							111,634
2.1a Project vehicle Other project related costs							
2.1b IT Consultant	35,000 9,950	2,400 7,700	1,200 5,300		UNDP	International Consultants, Travel and DSA, Vehicle, Workshop, Equipment and software	
2.1c Website Design Consultant	15,278						
2.1d Voter Roll Management Trainer	15,278						
2.1e Trainer (electoral administration)	8,139 9,139						
2.1f Capacity Development Workshop in Electoral Administration	2,250						

Output	Description	Budget category	Source				Total
	2.2 Server Equipment & Software for the EC			30,000			30,000
	2.3 Direct Project Costs[12]			4,500	5,000	5,000	14,500
	2.4 Effective technical advisory services and project management support.[13]	Staffing costs (local & International)		39,162.88	78,325.75	78,325.75	195,814.38
	Sub-Total for Output 2			**168,696.88**	**93,425.75**	**89,825.75**	**351,948.38**
Output 3 *Electoral legal advisory support (GEN2)*	3.1 Legal advisor for the Electoral Commission	International consultant, DSA and Travel	UNDP	26,905	26,905	10,770	64,580
	3.2 Direct Project Costs[14]	Operational costs and Service Charges	UNDP	2,000	5,000	5,000	12,000
	3.3 Effective technical advisory services and project management support.	Staffing costs (local & International)		39,162.88	78,325.75	78,325.75	195,814.38
	Sub-Total for Output 3			**68,067.88**	**110,230.75**	**94,095.75**	**272,394.38**

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12 Operational Costs (Finance and Procurement), Common Service Charges, and UNDP Communication and Programme Finance.

13 International senior technical adviser to the project, part time project manager (Suva based) and administrative assistant implementing the project.

14 Operational Costs (Finance and Procurement), Common Service Charges, and UNDP Communication and Programme Finance.

Output 4 *Women's electoral participation enhanced (GEN3)*						
4.1 Gender strategy for the Electoral Commission	13,916			UNDP	International consultant, DSA and Travel	13,916
4.2 Trainer (aspiring women candidates)		8,685		UNDP	International consultant, DSA and Travel, Workshop	10,935
4.2a Workshop for aspiring women candidates		2,250				
4.3 Direct Project Costs	1,000	5,000		UNDP	Operational costs and Service Charges	6,000
4.4 Effective technical advisory services and project management support.	39,162.88	78,325.75			Staffing costs (local & International)	117,488.63
Sub-Total for Output 4	**54,078.88**	**94,260.75**				**143,339.63**
Evaluation Lessons learned and final project evaluation completed			15,000		International Consultant Travel and DSA	15,000
Total Project Costs	390,951.52	496,303	198,921.50			1,086,176.02
General Management Support General Management Service (GMS) Fees 8%	31,276.12	39,704.24	15,913.72			86,894.08
TOTAL	**422,227.64**	**536,007.24**	**214,835.22**			**1,173,070.10**

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Governance of the project is expected to be undertaken by the Project Board which will convene at least twice a year and more frequently if decided so by the Board. The Project Board is the group responsible for making by consensus, management decisions for a project when guidance is required by the Technical Advisor, including recommendation for approval of project plans and revisions. In order to ensure accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with UNDP. In addition, the Project Board plays a critical role in UNDP-commissioned project evaluations by quality assuring the evaluation process and products, and using evaluations for performance improvement, accountability and learning. The Terms of Reference for the Project Board are annexed. The Project Board structure is provided in the diagram below.

On a day-to-day basis, the Technical Advisor, who is also the Project Manager, has the authority to run the project on behalf of UNDP with the constraints laid down by the Project Board and in accordance with the UNDP Programme and Operations Policies and Procedures (POPP). The Technical Advisor is responsible for the everyday management and decision-making of the project. The Technical Advisor's prime responsibility is to ensure that the project produces the results (outputs) specified in the Project Document to the required standard of quality and within the specified constraint of time and cost. UNDP appoints the Technical Advisor, who is different from the UNDP representative on the Project Board. Project backstopping and quality assurance will be provided by the UNDP Asia-Pacific Electoral Advisor and the UNDP Pacific Office in Suva.

The UN Focal Point for electoral assistance, through EAD, should be notified in a timely manner when project revisions or extensions that fall outside the parameters of the original needs assessment are envisioned. After consulting with the Resident Coordinator, the Focal Point will determine whether a needs assessment is required and, if so, whether to send a needs assessment mission or do a desk review. The Focal Point may also determine that some changes or extensions are not significant enough to warrant a new assessment, in which case the project will simply be amended and implementation will continue. Project extensions of limited duration alone will not trigger a needs assessment.

Project Organisation Structure

Project Board (Governance Mechanism)

Senior Beneficiary	Executive	Senior Supplier
Electoral Commission	UNDP RR/Country Director	UNDP, Project Donors

Project Assurance
UNDP Integrated Results
Management Unit
Team Leader

Technical Advisor

Project Support
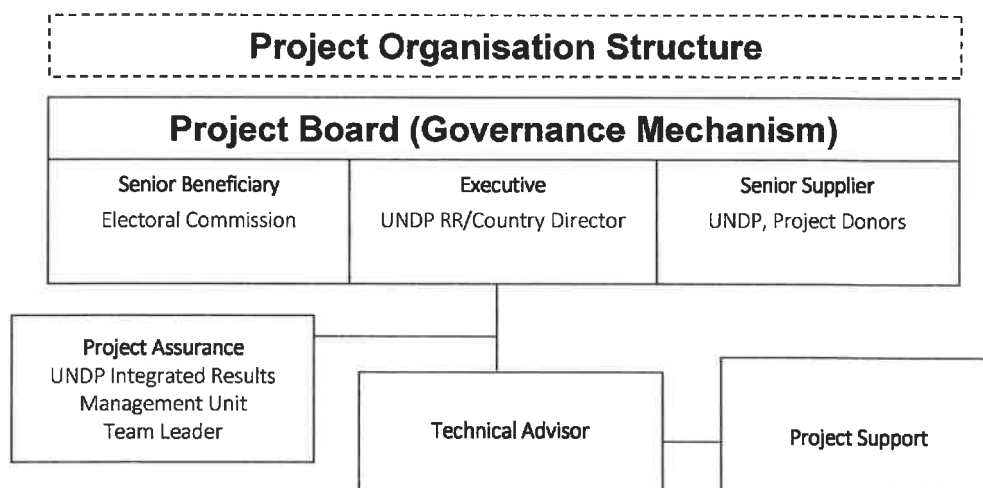
VI: Legal Context and Risk Management

Legal Context Standard Clauses

Option c. For Global and Regional Projects

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAAs for the specific countries; or (ii) in the Supplemental Provisions attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by the agency (name of agency) ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

Risk Management

Option b. UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][15] [UNDP funds received pursuant to the Project Document][16] are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

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[15] To be used where UNDP is the Implementing Partner
[16] To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

   a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

      i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

      ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

   b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

   c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

   d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

g. *Choose one of the three following options:*

Option 1: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Option 2: Each responsible party, subcontractor or sub-recipient agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Option 3: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds

determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

IX. ANNEXES

1. Project Quality Assurance Report (refer to attached)

2. Social and Environmental Screening Template

3. Risk Analysis.

4. Project Board Terms of Reference

Annex 1 – Project QA

Annex 2: Social and Environmental Screening Template

Project Information

Project Information	
1. Project Title	Nauru Support Electoral Project (NESP)
2. Project Number (ID)	00111434
3. Location (Global/Region/Country)	Nauru

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

The project is designed to support the sustainability of the electoral processes in Nauru. The implementation of the key outputs of the project will create greater opportunities for citizens and voters to improve their knowledge and understanding of their human rights and freedom to vote and elect their political representatives. The civic education component will also provide better understanding and realization of human rights standards and commitments, as well as a clear understanding of individual voter's roles and responsibilities., as well as addressing inequalities. Furthermore, the project will also enable marginalized individuals and groups (youth and people living with disabilities) to participate and achieve their right of political participation during the elections.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

The project design includes specific entry points for support to improved equity and meaningful participation of women in the electoral process.. To the extent possible the project will incorporate gender-disaggregated data and gender statistics, as well as specific, measurable indicators related to gender equality and empowerment, with the Results Framework including outputs and indicators to address gender inequality. Gender is effectively mainstreamed and all project outputs have gender equality as a significant objective (gender marker GEN2).

Briefly describe in the space below how the Project mainstreams environmental sustainability

The project does not have any direct negative environmental effects. The project support will be offering capacity building, civic education trainings and technical assistance, ensuring that the SDGs and development issues are mainstreamed across the project work, including gender mainstreaming, reducing inequality, and enhancing electoral inclusiveness. At the same time, the project will be also promoting the importance of

inclusive and effective governance for all, which enhances equitable and sustainable economic growth for Nauru.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.*	**QUESTION 3:** What is the level of significance of the potential social and environmental risks? *Note: Respond to Questions 4 and 5 below before proceeding to Question 6*			**QUESTION 6:** What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	***Impact and Probability (1-5)***	***Significance (Low, Moderate, High)***	***Comments***	***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.***
Risk 1: no risks identified	I = P =			
Risk 2: no risks identified	I = P =			
Risk 3: no risks identified	I = P =			
Risk 4:no risks identified	I = P =			

QUESTION 4: What is the overall Project risk categorization?	
Select one (see SESP for guidance)	Comments
Low Risk ☒	
Moderate Risk ☐	
High Risk ☐	

QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?	
Check all that apply	Comments
Principle 1: Human Rights ☐	
Principle 2: Gender Equality and Women's Empowerment ☐	
1. Biodiversity Conservation and Natural Resource Management ☐	
2. Climate Change Mitigation and Adaptation ☐	
3. Community Health, Safety and Working Conditions ☐	
4. Cultural Heritage ☐	
5. Displacement and Resettlement ☐	
6. Indigenous Peoples ☐	
7. Pollution Prevention and Resource Efficiency ☐	

Final Sign Off

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Signature	Date	Description
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks

	Principles 1: Human Rights	Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	no
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?[17]	no
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	no
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	no
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	no
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	no
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	no
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	no
	Principle 2: Gender Equality and Women's Empowerment	
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	no
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in	no

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[17] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	design and implementation or access to opportunities and benefits?		
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?		no
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*		no

Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems services? and ecosystem *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*		no
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?		no
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)		no
1.4	Would Project activities pose risks to endangered species?		no
1.5	Would the Project pose a risk of introducing invasive alien species?		no
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?		no
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?		no
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*		no
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)		no
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?		no

1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.*	no

Standard 2: Climate Change Mitigation and Adaptation

2.1	Will the proposed Project result in significant[18] greenhouse gas emissions or may exacerbate climate change?	no
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	no
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	no

Standard 3: Community Health, Safety and Working Conditions

3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	N0
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	no
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	no
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	no
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	no
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	no
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical,	no

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[18] In regards to CO$_2$, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

	biological, and radiological hazards during Project construction, operation, or decommissioning?	
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	no
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	no
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	no
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	no
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	no
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	no
5.3	Is there a risk that the Project would lead to forced evictions?[19]	no
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	no
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	no
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	no

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[19] Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.*	no
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	no
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	no
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	no
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	no
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	no
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	no
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	no
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	no
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	no
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	no
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	no

Annex 3: Risk Analysis (to be monitored and updated throughout the project period)

#	Description	Type	Impact & Probability	Countermeasures / Management response
1	Political and organisational environment impacts on project implementation through events, such as political tension, suspension of elections.	Political Organisational	Probability - 2 Impact - 4	Build trust through continuous dialogue with Nauru EMB, in order to retain flexibility, strong stakeholder ownership, accountability through oversight by the Project Board. Build formal and informal networks with a broad spectrum of champions across and within project stakeholders and NGOs.
2	Change in priority areas for stakeholders resulting in lack of priority to implement project activities.	Political Organisational Strategic	Probability - 2 Impact - 4	The Technical Advisor to monitor and report on progress to the Project Board, UNDP and donors, and flag possible changes in prioritisation for discussion.
3	Engagement of stakeholders by the EMB is not as extensive as originally envisaged	Political Organizational	Probability – 2 Impact - 4	The project envisages key activities to enhance engagement of relevant stakeholders (public, government ministries and CSOs) To building collaboration mechanisms build awareness on key reform aspects and on the work of the EMB.
4	Capacity constraints in EMB impact on project activities	Operational Organisational	Probability - 2 Impact – 2	Careful and pragmatic prioritisation, planning and sequencing of project activities will be undertaken with the assistance of the UNDP Pacific Office in Fiji and the UNDP Elections Adviser based in Bangkok. Updates to the Project Board on potential challenges and mitigation strategies are identified early, that change leaders are identified early, and over ambitious scheduling is avoided. Ensure that the pace of implementation is appropriate to avoid 'project fatigue' and matches the absorption capacity. Ensure the scope of activities and terms of references are endorsed by stakeholders.

#	Risk	Category	Rating	Mitigation Measures
5	Reduction in ownership and engagement by stakeholders and project results in delays or halt to project implementation.	Political and Strategic	Probability - 2 Impact - 3	Appropriate project management arrangements established and maintained to ensure stakeholder understanding of project management tools, including annual work planning processes, corporate procurement practices and timelines. Ensure the project is fully staffed and supporting project teams provide effective and timely services. Active Project Board monitoring and oversight is taking place.
6	Natural disasters that impact directly on stakeholder priorities and ability to implement and participate in activities under the project.	Environmental	Probability - 2 Impact – 2	Ensure flexible schedule for activity implementation to minimise potential impact on outputs and ensure sequenced and timely implementation of project activities, with adjustments made where necessary.
7	Project funds not fully mobilised or expended.	Operational Financial Organizational	Probability - 3 Impact – 3	Active resource mobilisation will be undertaken as a priority. Application of monitoring and evaluation processes combined with Project Board oversight and monitoring. Prioritization of activities within the AWPs should full resoucres not be mobilised.

Annex 4 - PROJECT BOARD – TERMS OF REFERENCE

Overall responsibilities

The Project Board is the group responsible for making by consensus management decisions for a project when guidance is required by the Technical Advisor, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards that shall ensure best value to money, fairness, integrity transparency and effective international competition[20]. In case a consensus cannot be reached, final decision shall rest with the UNDP Programme Manager. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Technical Advisor. This group is consulted by the Technical Advisor for decisions when PM tolerances (normally in terms of time and budget) have been exceeded.

Based on the approved Annual Work Plan (AWP), the Project Board may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Technical Advisor and any delegation of its Project Assurance responsibilities.

Composition and organization

This group contains three roles, including:

1) An Executive: individual representing the project ownership to chair the group.
2) Senior Supplier: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project.
3) Senior Beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

Specific responsibilities

Initiating a project

- Agree on Technical Advisor's responsibilities, as well as the responsibilities of the other members of the Project Management team;
- Delegate any Project Assurance function as appropriate;
- Review the Progress Report for the Initiation Stage (if an Initiation Plan was required);
- Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

Running a project

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Technical Advisor;

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[20] UNDP Financial Rules and Regulations: Chapter E, Regulation 16.05: a) The administration by executing entities or, under the harmonized operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. b) Where the financial governance of an executing entity or, under the harmonized operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition that of UNDP shall apply.

- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Technical Advisor's tolerances in the Annual Work Plan and quarterly plans when required;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review;
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when Technical Advisor's tolerances are exceeded;
- Assess and decide on project changes through revisions.

Closing a project

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement);
- Notify operational completion of the project to the Outcome Board.

Executive

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Technical Advisor
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organise and chair Project Board meetings

The Executive is responsible for overall assurance of the project as described below. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure the expected output(s) and related activities of the project are well defined;
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective;
- Promote and maintain focus on the expected project output(s);

- Prioritise and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Resolve priority conflicts.

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored;
- Where the project's size, complexity or importance warrants it, the Senior Beneficiary may delegate the responsibility and authority for some of the assurance responsibilities (see also the section below).

Senior Supplier

The Senior Supplier represents the interests of the parties which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts
- The supplier assurance role responsibilities are to:
- Advise on the selection of strategy, design and methods to carry out project activities;
- Ensure that any standards defined for the project are met and used to good effect;
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective;
- Monitor any risks in the implementation aspects of the project.

If warranted, some of this assurance responsibility may be delegated (see also the section below)

Project Assurance

Overall responsibility: Project Assurance is the responsibility of each Project Board member, however the role can be delegated. The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

Project Assurance has to be independent of the Technical Advisor; therefore the Project Board cannot delegate any of its assurance responsibilities to the Technical Advisor. A UNDP Programme Officer typically holds the Project Assurance role.

The implementation of the assurance responsibilities needs to answer the question "What is to be assured?" The following list includes the key suggested aspects that need to be checked by the Project Assurance throughout the project as part of ensuring that it remains relevant, follows the approved plans and continues to meet the planned targets with quality.

- Maintenance of thorough liaison throughout the project between the members of the Project Board;
- Beneficiary needs and expectations are being met or managed;

- Risks are being controlled;
- Adherence to the Project Justification (Business Case);
- Projects fit with the overall Country Programme;
- The right people are being involved;
- An acceptable solution is being developed;
- The project remains viable;
- The scope of the project is not "creeping upwards" unnoticed;
- Internal and external communications are working;
- Applicable UNDP rules and regulations are being observed;
- Any legislative constraints are being observed;
- Adherence to RMG monitoring and reporting requirements and standards;
- Quality management procedures are properly followed;
- Project Board's decisions are followed and revisions are managed in line with the required procedures.

Specific responsibilities would include:

Initiating a project

- Ensure that project outputs definitions and activity definition including description and quality criteria have been properly recorded in the Atlas Project Management module to facilitate monitoring and reporting;
- Ensure that people concerned are fully informed about the project;
- Ensure that all preparatory activities, including training for project staff, logistic supports are timely carried out.

Running a project

- Ensure that funds are made available to the project;
- Ensure that risks and issues are properly managed, and that the logs in Atlas are regularly updated;
- Ensure that critical project information is monitored and updated in Atlas, using the Activity Quality log in particular;
- Ensure that Project Quarterly Progress Reports are prepared and submitted on time, and according to standards in terms of format and content quality;
- Ensure that CDRs and FACE are prepared and submitted to the Project Board and Outcome Board;
- Perform oversight activities, such as periodic monitoring visits and "spot checks";
- Ensure that the Project Data Quality Dashboard remains "green".

Closing a project

- Ensure that the project is operationally closed in Atlas;
- Ensure that all financial transactions are in Atlas based on final accounting of expenditures;
- Ensure that project accounts are closed and status set in Atlas accordingly.

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

OVERALL PROJECT

EXEMPLARY (5) ⦿⦿⦿⦿⦿	HIGHLY SATISFACTORY (4) ⦿⦿⦿⦿○	SATISFACTORY (3) ⦿⦿⦿○○	NEEDS IMPROVEMENT (2) ⦿⦿○○○	INADEQUATE (1) ⦿○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

DECISION

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

RATING CRITERIA

STRATEGIC

1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):
  • **3:** The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.
  • **2:** The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.
  • **1:** The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.
 	
*Note: Management Action or strong management justification must be given for a score of 1
	3 **2**
	1
	Evidence
	Prodoc pg. 4 (Problem statement) & Pg.8 (ToC)	

2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):
  • **3:** The project responds to one of the three areas of development work[1] as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas[2]; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. *(all must be true to select this option)*
  • **2:** The project responds to one of the three areas of development work[1] as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. *(both must be true to select this option)*
  • **1:** While the project may respond to one of the three areas of development work[1] as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the
	3 **2**
	1
	Evidence
	Prodoc pg 8, refer to section: *Relationship to UNDP Strategic Plan and UNDAF*	

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[1] 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building
[2] sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.		

RELEVANT

	3	**2**
	1	

3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):

- **3:** The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) *(all must be true to select this option)*
- **2:** The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. *(both must be true to select this option)*
- **1:** The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.

*Note: Management Action must be taken for a score of 1, or select not applicable.

Evidence
Women's electoral participation is a specific Output 4 in the Project document. Output 1 is aimed at better informed electorate (including women & youth), Output 3, is aimed at reviewing & updating laws & regulations to encourage more women to stand for elections.

	3	2
	1	

4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):

- **3:** Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.
- **2:** The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.
- **1:** There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.

*Note: Management Action or strong management justification must be given for a score of 1

Evidence
Prodoc peer reviewed by Regional Technical Adviser in BKK, UN EAD, Backed by evidence from Needs Assessment undertaken in 2017 (Pg 3), and uses the Electoral Cycle Approach in line with UNDP Practice Notes on Electoral Assistance.

	3	**2**
	1	

5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):

- **3:** A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. *(all must be true to select this option)*
- **2:** A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. *(all must be true to select this option)*

Gender concerns are integrated in the analysis of the development challenge, the strategy, including outputs and activities.

• **1:** The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered. *Note: Management Action or strong management justification must be given for a score of 1*	

6. **Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):**	**3**	2
	1	
• **3:** An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. *(all must be true to select this option)*	**Evidence** UNDP Strategic advantage of working in this area noted in Pg. 10, section *"Resources Required to Achieve the Expected Results"*	
• **2:** Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.		
• **1:** No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.		
Note: Management Action or strong management justification must be given for a score of 1		

SOCIAL & ENVIRONMENTAL STANDARDS

7. **Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):**	**3**	2
	1	
• **3:** Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. *(all must be true to select this option)*	**Evidence** Linked to civil and political rights: The implementation of the key outputs of the project will create greater opportunities for citizens and voters to improve their knowledge and understanding of their human rights and freedom to vote and elect their political representatives.	
• **2:** Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.		
• **1:** No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.		
Note: Management action or strong management justification must be given for a score of 1		

8. **Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):**	**3**	2
	1	
• **3:** Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. *(all must be true to select this option).*	**Evidence** As outlined in the SES, the project does not have any direct negative environmental effects. The project support will be offering capacity	
• **2:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental		

<table>
<tr>
<td>impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.
• <u>1:</u> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

*Note: Management action or strong management justification must be given for a score of 1</td>
<td colspan="2">building, civic education trainings and technical assistance, ensuring that the SDGs and development issues are mainstreamed across the project work.
Also refer to Pg 10-12, Section on Expected Results.</td>
</tr>
<tr>
<td rowspan="2">**9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?** The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</td>
<td>==Yes==</td>
<td>No</td>
</tr>
<tr>
<td colspan="2">SES has been conducted</td>
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MANAGEMENT & MONITORING

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<tr>
<td rowspan="2">**10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):**
• <u>3:</u> The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. *(all must be true to select this option)*
• <u>2:</u> The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. *(all must be true to select this option)*
• <u>1:</u> The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.

*Note: Management Action or strong management justification must be given for a score of 1</td>
<td>==3==</td>
<td>2</td>
</tr>
<tr>
<td colspan="2">1
Evidence
Prodoc Results Framework pg. 15-18</td>
</tr>
<tr>
<td rowspan="2">**11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?**</td>
<td>==Yes (3)==</td>
<td>No (1)</td>
</tr>
<tr>
<td colspan="2">Prodoc pg. 19- 26 for M&E Plan, and Multi-Year Work Plan</td>
</tr>
<tr>
<td rowspan="3">**12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):**
• <u>3:</u> The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. *(all must be true to select this option).*
• <u>2:</u> The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The</td>
<td>3</td>
<td>==2==</td>
</tr>
<tr>
<td colspan="2">1</td>
</tr>
<tr>
<td colspan="2">**Evidence**
Refer to Project Management Section, Section VIII Governance and Management Arrangement &</td>
</tr>
</table>

4

prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. *(all must be true to select this option)* • **1:** The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided. *Note: Management Action or strong management justification must be given for a score of 1	Annex 4: TOR for Project Board	
13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? **(select from options 1-3 that best reflects this project):** • **3:** Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. *(both must be true to select this option)* • **2:** Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. • **1:** Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document. *Note: Management Action must be taken for a score of 1	**3** 2 1 **Evidence** Refer to Prodoc Annex 3 Risk Log	

EFFICIENT

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.	**Yes (3)** No (1) Refer to pro doc: • *Resources Required to Achieve the Expected Results* • *Partnerships* • *South-South and Triangular Cooperation (SSC/TrC)*	
15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)	**Yes (3)** No (1) Refer to pro doc: • *Resources Required to Achieve the Expected Results* • *Partnerships* • *South-South and Triangular Cooperation (SSC/TrC)* • *Project management, on Cost efficiency and Effectiveness*	
	3 2 1	

16. Is the budget justified and supported with valid estimates?	Evidence Project budget costed at activity level and full Multi-Year Work Plan provided pp. 21-26
• **3:** The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. • **2:** The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. • **1:** The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.	

17. Is the Country Office fully recovering the costs involved with project implementation?	**3**	2
	1	
• **3:** The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.) • **2:** The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. • **1:** The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project. *Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.	Evidence The project budget fully covers all DPC. as shown in the Multi-Year costed workplan (Pg 21-26)	

EFFECTIVE

18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):	**3**	2
	1	
• **3:** The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. *(both must be true to select this option)* • **2:** The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments. • **1:** The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered. *Note: Management Action or strong management justification must be given for a score of 1	The project will be delivered through a Direct Implementation Modality (DIM) as is the standard on United Nations Electoral Assistance	

19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?	3	**2**
	1	
• **3:** Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions. • **2:** Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.	Evidence Refer to Stakeholder engagement section p. 10	

• 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.	

	Yes (3)	No (1)
20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?	Refer to M& E Plan pg. 15	

	Yes (3)	No (1)
21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum. *Note: Management Action or strong management justification must be given for a score of "no"*	**Evidence** Project is GEN2 & GEN3. See, Expected Results pg. 10-12	

	3	2
22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project): • **3:** The project has a realistic work plan & budget covering the duration of the project *at the activity level* to ensure outputs are delivered on time and within the allotted resources. • **2:** The project has a work plan & budget covering the duration of the project at the output level. • **1:** The project does not yet have a work plan & budget covering the duration of the project.	1	
	Evidence Multi-Year Work Plan, pp. 21-26	

SUSTAINABILITY & NATIONAL OWNERSHIP

	3	2
23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project): • **3:** National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. • **2:** The project has been developed by UNDP in close consultation with national partners. • **1:** The project has been developed by UNDP with limited or no engagement with national partners.	1	
	Evidence Refer to Pg 3. National Request	

	3	2.5
24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):	2	1.5
	1	
• **3:** The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. • **2.5:** A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. • **2:** A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. • **1.5:** There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. • **1:** Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.	**Evidence** Capacity assessments have been conducted (Needs Assessment Mission conducted in 2017) and the project strategy and outputs are based on them. Refer as well to IRRF	

	Yes (3)	No (1)
25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?	N/A since DIM modality	
	Yes (3)	No (1)

26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?	The Sustainability and Scaling Up section in p. 12