UNITED NATIONS DEVELOPMENT PROGRAMME

## PROJECT DOCUMENT
### *[Vanuatu]*

**Project Title**:       Vanuatu Electoral Environment Project (VEEP)
**Project Number:**     00099159
**Implementing Partner:** United Nations Development Programme
**Start Date** : 1/09/2017  **End Date:** 1 December 2020   **PAC Meeting date:** 1 August 2017

| Brief Description |
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| The development challenge the Vanuatu Electoral Environment Project aims to contribute to is the democratic development of Vanuatu. It will do this by supporting the Vanuatu Electoral Office to fulfill its mandate to supervise the registration of electors and the conduct of elections to Parliament and provincial and municipal councils. Improving the capacity of the Vanuatu Electoral Office will contribute to it's ability to manage the political change process through credible electoral processes. As part of this a new voter registration system will seek to more accurately represent the electorate, building the public's trust in democracy in Vanuatu.<br><br>The project will be implemented through a Direct Implementation Arrangement under guidance of the Project Board |

| Contributing Outcome (UNDAF/CPD, RPD or GPD): |
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| Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance |
| Indicative Output(s): |
| Output 1: *Institutional Capacities of the Electoral Authorities Strengthened* |
| Output 2: *Integrity and Accuracy of the Voter Registry Enhanced* |
| Output3: *Ability to conduct voter education and raise public awareness strengthened* |
| Output 4: *Legal Framework for Political Parties developed and capacity building on legal framework to key stakeholders provided.* |

| Total resources required: | | USD$2,293,699 |
|---|---|---|
| Total resources allocated: | | |
| | **UNDP TRAC:** | 86,000 |
| | **Govt of NZ:** | 2,250,600 |
| | **Donor:** | TBC |
| | **Government:** | TBC |
| | **In-Kind:** | TBC |
| **Unfunded:** | | 0 |

| Government of Vanuatu | UNDP |
|---|---|
| | |
| Mr Johnson Naviti<br>Director General, Prime Minister's Office | Ms. Osnat Lubrani<br>UNDP Representative |
| Date: | Date: |

## I.    DEVELOPMENT CHALLENGE

Vanuatu gained independence on 30 July 1980 and adopted a Westminster style parliamentary political system. Since then the country has experienced a series of elections using a Single Non-Transferable Vote (SNTV) system. Until 1991 the country experienced political stability, with the Vanua'aku Pati remaining in power for 11 years. Since 1991 following political party splits, forming and retaining a collation government has become a complex process of negotiation between fragmented political groups and independents. This has produced prolonged political instability, with 12 changes of government in the last 10 years.

In November 2015, following charges of corruption against 15 members of Parliament, a snap parliamentary election was held. In this context, the new government that was established in February 2016 launched a political reform process.

A "Political Reform Taskforce" was established to manage the reform process and develop a Bill to amend the Constitution. The explanatory note of the Bill included a number of areas for reform including the regulation of political parties, regulation of reserved seats for women, proecure for appointment fo the Speaker and, amongst other issues, enabling the regulation of cost-effective election procedures. While these were the initial issues listed in the Bill that was brought forward in 2016, the reforms process is fluid and during ongoing discussions and debates on key reform issues some of these issues may not proceed and additional issues may be introduced.

Such amendment requires a qualified majority in Parliament and, in regards to provisions changing the electoral or parliamentary system, need to be approved through a national referendum. A broader, more inclusive Constitutional Review Committee was established and submitted its report to Parliament in September 2016, but as of February 2017, the reform agenda had gone quiet. The government has maintained its commitment to the principals of the reform and engage closely in attempting to establish political consensus around a new package. However, as of February 2017, the prospect of a referendum does not seem immediate.

Political stability is essential to the development of Vanuatu. Systematic, credible elections that deliver parliaments with clear term limits set the space for legislators to develop policy that impacts on the broader economic and social development of Vanuatu. In this context, a well-functioning, staffed and resourced electoral management body plays a critical role, as does its support in providing substantive inputs to the political reform process and potentially delivering a part of it through the conduct of a referendum.

### 1.1 National Request

On 23 May 2016, the Prime Minister of the Republic of Vanuatu requested the United Nations (UN) for assistance in preparations for a referendum to approve the constitutional reforms as well as medium and longer term assistance to develop the capacity of the Electoral Commission and the Electoral Office as they are the principal institutions for developing legislative provisions and implementing the referendum. In response, and building on the recommendations of a scoping mission deployed to Vanuatu between 6 and 12 June 2016, the Under-Secretary-General for Political Affairs, Focal Point for Electoral Assistance in the UN, approved the provision of the following: 1) technical assistance and capacity building to the electoral management body on voter registration and civic and voter education; 2) technical guidance to the reform process and support to broad consultation activities; and, 3) assistance to gender mainstreaming at all levels of the electoral process. The outputs and activities specified in this project document reflect the parameters of assistance outlined in the NAM.

### 1.2 Political and Electoral Framework

Vanuatu is headed by a president, who is elected by secret ballot by a two-thirds majority in an electoral college consisting of Parliament and the Chairman of Local Government Councils. He/she has primarily

ceremonial powers. The prime minister, who is the head of the government, is elected by a majority vote of a three-fourths quorum of Parliament. The prime minister in turn appoints the 12-member Council of Ministers. The prime minister and the Council of Ministers constitute the executive government and oversee the administration of the government ministries. Parliament is a 52-member unicameral house elected by all persons over 18 years old. Parliament normally sits for a 4-year term unless dissolved by majority vote of a three-fourths quorum or a directive from the president on the advice of the prime minister. The National Council of Chiefs, elected from the district councils of chiefs, exists alongside parliament to discuss and be consulted on matters relating to custom and tradition. The members of the judiciary, except the Chief Justice, are appointed by the President on advice of the Judicial Services Commission. The President appoints the Chief Justice following consultation with the Prime Minister and the Leader of the Opposition.

The electoral framework of Vanuatu consists of the Constitution of the Republic of Vanuatu (1980) and the Representation of the People Act (1982)[1]. The single non-transferable vote (SNTV) electoral system[2] has been kept in place in Vanuatu since the 1975 elections by the Anglo-French Condominium (shared government).

The independent Electoral Commission in Vanuatu consists of a chairman and two members appointed by the President of the Republic, who have a 5-year term[3]. The Commission has a mandate to supervise the registration of electors and the conduct of elections to Parliament and provincial and municipal councils, and has a supervisory role for the elections to the Malvatumauri National Council of Chiefs[4]. The Commission is being supported by a small secretariat (the Electoral Office), comprised of 6 officers led by the principal electoral officer who is a public servant[5].

The six provinces and two municipalities of the country are delimited into 18 constituencies (seven single-member and 11 multi-member electoral districts), containing altogether over 309 polling stations. There are disparities between the electoral districts in terms of size of population, resources and geographical features.

### 1.3 Women's Political Participation

Since independence, only five women have been elected as Members of Parliament. Ten women contested the 2016 elections and none of them was elected. Political parties do not generally endorse women and women face many difficulties to successfully participate and become political leaders in particular to obtain financial means and political and societal support to campaign and be elected.

An amendment to the Municipalities Act passed in 2013 has allowed for a 30 per cent quota for women's representation within some of the municipal councils of Vanuatu. The adoption of quota mechanisms at municipal level was initiated by the Director of Women's Affairs to tackle the issue of attitudinal resistance of women's political participation. It was intended to begin a gradual approach that moved from the lowest level of government, the municipal councils, to provincial governments and finally to the national parliament. The adoption of this legislation has seen an increase in the number of women within the municipal councils in a given time. Since independence in 1980 (37 years ago), four women have been elected to the Luganville Municipal Council and three women have been elected into the Port Vila Municipal Council. With the introduction of temporary special measures in 2013, five women have been elected into the Port Vila Municipal Council on January 2014 and five women were elected into the Luganville Council on July 2015.

### 1.4 Development Challenge

***Vanuatu Electoral Office***

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[1] Chapter 146 of the Laws of the Republic of Vanuatu, Consolidated Edition 2006.
[2] This system is still being used in a small number of countries, such as Afghanistan, Pitcairn Islands, Jordan as well as the elections of the upper house in Indonesia and the Thai senate.
[3] Laws of the Republic of Vanuatu, revised edition 1988.
[4] This is 22 member Malvatumauri has an advisory role in areas related to Melanesian indigenous values, custom and tradition.
[5] 'Vanuatu: Limitations to the Independence of the EMB', Jeannette Bolenga, p. 248.

The Vanuatu Elections Office has a Principal Elections Officer, a Deputy Elections Officer (seconded from the Ministry of Internal Affairs and does not sit within the office), a Compiler (Voter registration Officer), an Assistant Compiler, a Finance Controller (unfilled position currently), a secretary/Typist and a Cleaner/Handyman.

Given its mandate to prepare and conduct all elections, develop and maintain the electoral roll, conduct public awareness and voter education campaigns and review bills and regulations on electoral matters, the electoral office is greatly under resourced and staffed. Despite its successful management of electoral events in the past, it lacks the "critical mass" of staff to institutionalize its knowledge and relies greatly on Area Secretaries and other seconded staff to undertake election duties. In fact, support across all four key areas of its mandate outlined above would have a large impact on sustaining the credibility of the entire electoral process.
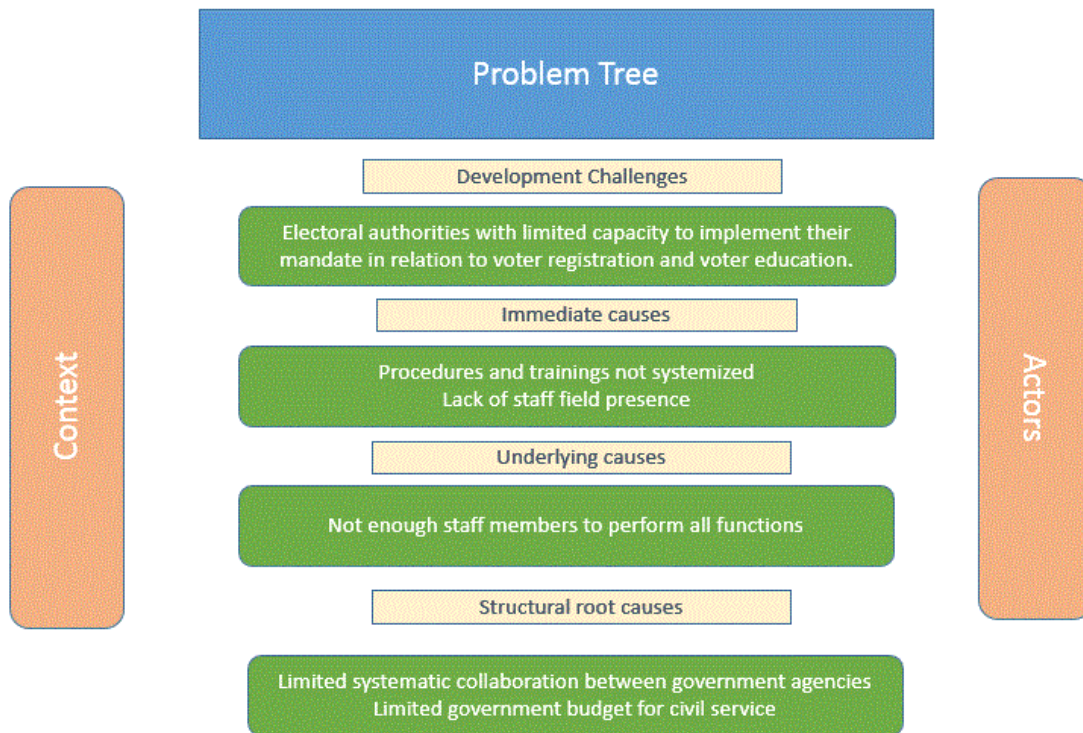


Figure 1: Problem tree showing the causal links among the various elements that contribute towards the development challenge

### *Institutional Capacities of the Electoral Authorities*

The under staffing and under resourcing of the electoral office means its institutional and operational sustainability is fragile. The lack of minimum "critical mass" of permanent staff means that skills and knowledge are associated with the individual and not with the institution of the electoral office. This means if and when staff leave, the electoral office would struggle to cover the knowledge and experience gap. In a worst case scenario if the staff leave in close proximity to an electoral event, the office would have trouble administering that election. Key procedures need to be systemised and documented to ensure at least a minimal amount of institutional memory. In addition, the ability of the electoral authorities to engage on electoral reform issues that would potentially affect its mandate and operations is limited. With reform processes ongoing, it is essential that the electoral authorities are able to contribute and react in an informed and swift manner.

The VEO is based in Port Villa and has no permanent representation in the provinces and outer islands. It recruits registration officers a short period before the election, and they are charged with substantive authority around electoral operations. However, there are unclear lines of authority and the elections office has limitations in monitoring and controlling the operation of the field.

The electoral office is not the only institution in Vanuatu that exists with a skeleton staff. Increasing the staffing arrangements at Port Villa and the Provinces that promote gender equality would significantly strengthen the capacity of the electoral office, there are many competing claims for additional budget from government institutions. With a limited national budget, a creative solution needs to be found that increases institutional capacity but limits costs.

*Integrity and Accuracy of the Voter Registry*

The quality of the voter register has been raised in stakeholder consultations as one of the greatest concerns affecting the credibility of elections in Vanuatu.  The voter data is collected on an annual basis from January to June every year.  The review of the information ends in March and then until June the data is entered. However, two critical parts of the maintenance of any registry are issues of concern. The first is that it is difficult to remove dead voters, while the second is that it is difficult to identify multiple registrations (fraudulent or accident). Compacting these problems is that registration offices on the ground are only employed part-time and have limited training. For the 2012 General Elections, the electoral commission acknowledged that there were at least 50,000 more registrations that should have been the case.

There have been plans to update the voter roll in the past. In 2006 with the Australian Electoral Commission offering its support, and discussion in 2014 with foreign vendors that provided biometric technology for voter registration. However, both times the Vanuatu authorities decided to not move forward as it was felt local control related to technology and development should be paramount with any changes. The civil registry is the most ambitious registration exercise that has been ongoing with support from UNICEF. While cross-checking is conducted between the two registries, there are discussions on how the voter registry could be linked to the collection of data for, and extraction of data from, the civil registry. In the short-term both registries struggle to remove dead people, and so the voter registry requires an update from a manual to an electronic system as trust around the legitimacy of the registry threatens to be a major political issue.

*Voter education and raise public awareness*

The Elections Office does not have any dedicated staff for voter education or public awareness. All of these tasks are undertaken by existing staff. Voter information and public awareness for past electoral events has previously been undertaken in an ad hoc manner. The Elections Office has placed information on FM radio stations and has developed a minimal number of posters to be placed at polling stations. It has also relied on a limited number of press releases or paid articles in the media.

The main hurdle the electoral office taking a greater role in voter education and public awareness is that it is understaffed. Staff at the electoral office are aware of many practical ways in which voter information and civic education could be improved, in terms of planning, design and targeting. It would also improve ability of the electoral office to raise awareness on issues such as women's political participation and any political or electoral reform if it was to go to a referendum. If human and financial resources are available, the electoral office would be well placed to move forward with strategies and programmes that inform electors and enhance the transparency and credibility of the electoral process.

**Political Parties in Vanuatu**

The Parliament is made of up of 52 MPs.  Currently there are 20 political parties represented in Parliament. In the most recent election, held in 2016, a record number of 36 political parties contested the election along with 60 independent candidates. Vanuatu, since independence in 1980 has long struggled with party fragmentation and as a result, especially since 1991, elections have returned a Parliament made up of many political parties and independents.  The resulting coalition Governments have been fraught with complex negotiation processes and political manoeuvring, often continuing throughout legislative periods. Parliament has subsequently become to be  been seen as a forum for bargaining for political power and accessing the Executive rather than a body whose primary function is legislating and providing oversight of the actions and policies of the Executive.

At the recent UNDP regional conference[6] to discuss the role of political parties in the Pacific, participants highlighted the limited success of political parties in the region to engage with women, youth and other excluded groups in their activities and facilitating the opportunity to attain leadership posts in the party and as a candidate for elected office. Vanuatu remains one of the few countries in the world with no women sitting in Parliament and few women in political party leadership positions.

Most recently, UNDP received a request from the Government to provide assistance in the development of a regulatory framework to regulate political parties including the development of a draft Political Parties Bill. The development of a framework is viewed as necessary to better regulate political parties to ensure that certain standards are attained before being able to register and contest elections, which in turn could strengthen stability in parliament. The Government will debate the Bill during an extraordinary session of Parliament in June 2018.

## III.    STRATEGY

The project will utilize an electoral cycle approach as its overall strategy. 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 substantial resources and technical support uniquely towards the delivery of a given electoral event, at intermittent and disconnected points in time. The adoption of the electoral cycle 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.



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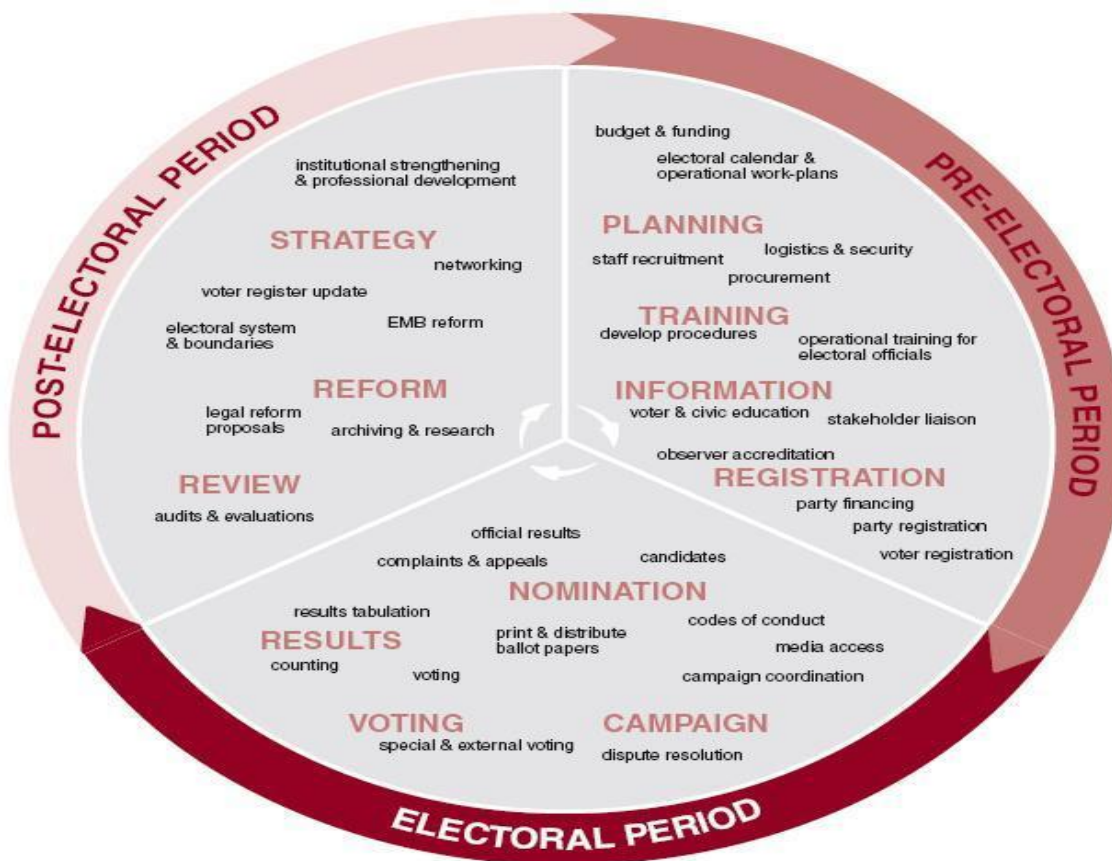
[6] Pacific Regional Dialogue: *Does the Pacific Need Political Parties?,* 19-20 September 2017.

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 approach will be taken. Given the small size of the electoral office it is important not to flood it with too many resources or outside advisors.

To achieve this intermittent international advice at critical periods and at the request of the Vanuatu electoral authorities. A consistent level of support will be provided through a United Nations Volunteer, who will assist in managing research and feasibility studies and support the office in its strategic planning. A part time UNDP Electoral Chief Technical Advisor will also undertake systematic visits to the country to ensure the project receives consistent high quality advice, and benefits from south-south opportunities in the region. The project will also ensure the electoral office has effective and beneficial links to other electoral authorities and professional networks. Building the institutional and individual staff capacity of the Vanuatu Electoral Authorities will also increase their ability to engage in (and potentially deliver through a referendum) the political reform process should it move forward. Gender will be reflected under each component.

**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.[7] 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 2016, and the findings of the follow up project document mission in 2017, there exists a fair understanding of the development challenges faced by the Vanuatu Electoral Authorities. In addition to this UNDP had commissioned reports that detail the operational, voter education, public outreach and gender related challenges that the project will seek to address. Theses have been identified in the previous section on the Development Challenge.

**Relationship to UNDP Strategic Plan and UNDAF**

The project falls directly under the UNDP Strategic Plan (SP) 2013-2017 and responds to Outcome 2 Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance. The project corresponds to the SP Outcome Indicator 2.3 Percentage of women in national Parliaments, and responds effectively to the SP Output 2.1 Parliaments, constitution making bodies and electoral institutions enabled to perform core functions for improved accountability, participation and representation, including peaceful transitions.

The project corresponds directly to the United Nations Development Assistance Framework (UNDAF) 2013-2017 Outcome 5.1: Regional, national, local and traditional governance systems are strengthened, respecting and upholding human rights, especially women's rights in line with international standards. It also contributes to Outcome 2.1: Increased women's participation through legislation and policies that advance women's leadership at all levels

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[7] See: UNDP, "A Guide to the Application of Theories of Change to UNDP Programmes and Projects", 2016.
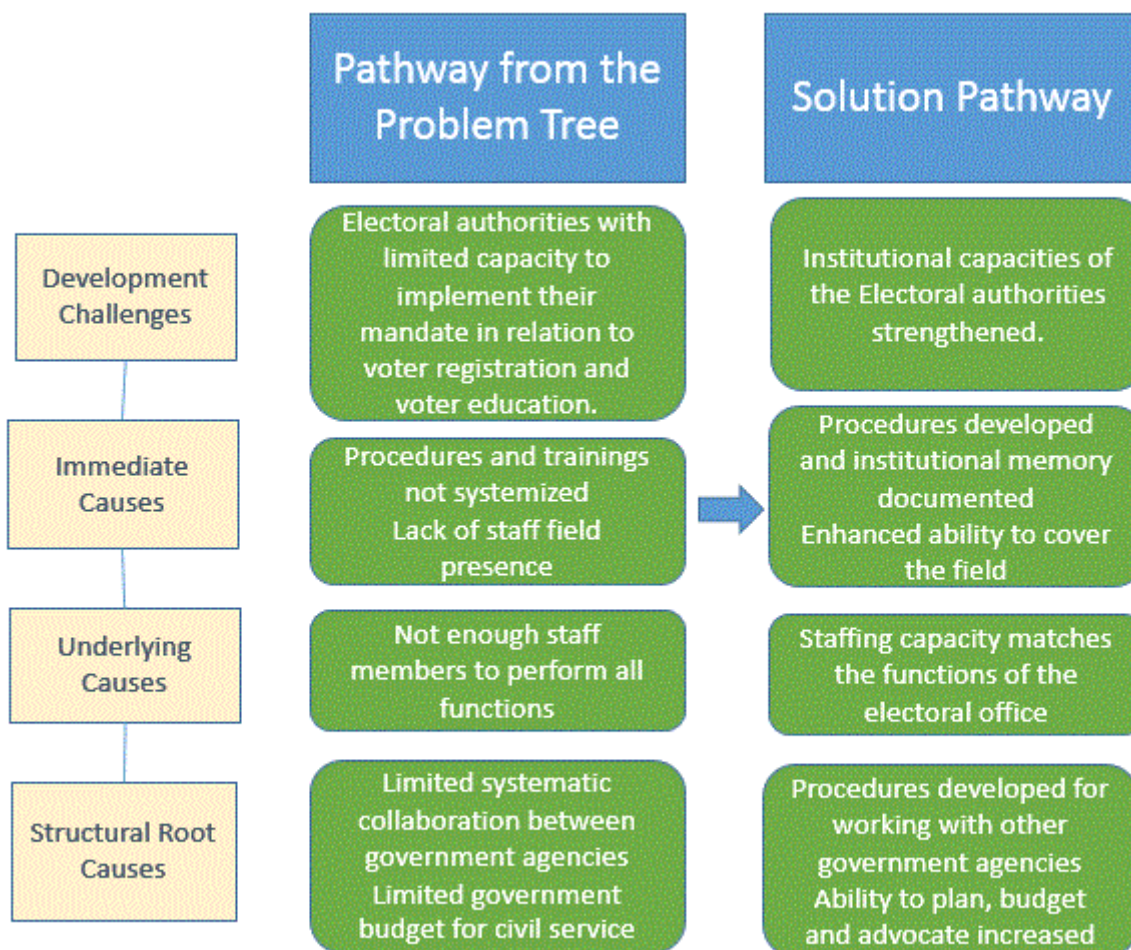
Figure 3: From a problem to a solution pathway

The project is organized under four outputs aimed at strengthening the medium-long term capacity of the electoral authorities. As such, all assistance should also have a benefit for the electoral office should it be required to hold a referendum in the current electoral cycle.

**Output 1:** *Institutional Capacities of the Electoral Authorities Strengthened*

The electoral office lacks human and financial capacity to be able to institutionalize its knowledge and experience. It is also unable to administer elections outside 'emergency' mode, meaning timelines and procedures need attention. The critical aspect of support under this component is to increase the capacity of the electoral office in Port Vila by tapping into the government's graduate programme. Through this the electoral office should be able to build a small amount of capacity to standardize procedures, conduct operational planning, codify knowledge and conduct training of electoral officials.

One option for increasing the capacity of the electoral office is to employ one full time staff at each province and municipality. However, with a limited national budget the sustainability and cost-effectiveness of such a proposal needs to be thoroughly investigated. As such, research will assist in informing an options paper of how the electoral office can have more effective links to the provincial level, potentially through an increase in staff or through other means such as having administrative control over provincial staff in electoral related activities. Gender will be mainstreamed through the office's work beginning with the development of a framework through from which the office can identify how to mainstream gender in its organizational structure and administrative duties.

**Output 2:** *Integrity and Accuracy of the Voter Registry Enhanced*

Support to improving the voter registration system will focus on assisting the national authorities develop a feasible solution to the updating and maintenance of the register. The strategy is based around supporting a locally-owned electronic registration system that has investigated the possible synergies with other registration systems and their data-entry/removal processes in the country. Support will also be given to review and where appropriate modify legislation, to ensure the registry remains accurate, updated and maintained in a timely manner. Importantly barriers to men and women's ability to participate in the registration process will be addressed to ensure any system and its implementation is fair and inclusive.

**Output 3:** *Ability to conduct voter education and raise public awareness strengthened*

The strategy for voter information, public outreach and civic education will be implemented as part of a broader strategy outlined in output 1 at increasing the capacity of the electoral office. Reports produced by 2016 by UNDP will act as a baseline for the development of an inclusive strategy that has a special focus on gender. For its implementation, new staffing structures and additional resources will be required as the current structure of the commission does not have the capacity to undertake further work. The electoral office could leverage local, national and regional partnerships to assist in the implementation of this strategy involving peer-to-peer learning through the Pacific Islands, Australia and New Zealand Electoral Administrators Network (PIANZEA) or the BRIDGE professional development programme.

The emphasis for voter education will be on developing messages and materials that have been tested for efficacy, in providing practical information on how voters can register and cast their ballot. Civic education and public outreach will be conducted on a needs assessment of the different island contexts and the gender consideration that accompany those different contexts. Strategic education (democracy, inclusiveness, constitution, etc.) and outreach strategies will be developed on the back of that assessment.

**Output 4:** *Legal Framework for Political Parties developed and capacity building provided*

The project will provide technical assistance to the Government of Vanuatu to develop a legal framework for the regulation of political parties including the development of a draft Political Parties Bill. The technical assistance will encompass support for extensive national consultations with stakeholders during the formulation phase of political party legislation and advisory services on the legal framework based on global experience with a specific focus on women, youth and those traditionally excluded from decision-making processes.

Furthermore, capacity building will be provided on a cross-party basis to all political parties and other relevant stakeholders on the developing political party regulatory framework including relevant measures to adherence to the new regulatory framework. The assistance will be provided in an impartial and equitable manner and in a way which is perceived to be politically neutral.

## IV.    RESULTS AND PARTNERSHIPS

### *Expected Results*

The overall expected result is to Strengthen the Capacity of the Vanuatu Electoral Authorities to Implement their Mandate. The indicative activities highlighted below seek to achieve three sub-results:

**Output 1:** *Institutional Capacities of the Electoral Authorities Strengthened*

Indicative Activities:

- Development of operational plan and structure for the electoral office to be able to fulfill its mandate
- Development of TORs (and negotiations with relevant government institutions) for the systemization of a graduate programme that sees two graduates employed with the electoral office over a two-year period
- Identification and roll out of capacity building efforts for the electoral office (this may involve human, financial and material resources)
- Study investigating the suitability of an increased staffing structure within a decentralized framework (including alternative options if not feasible)
- Development of strategy for recruitment and training of registration offices (including clear lines of accountability)
- Codifying and digitizing all knowledge and information within the electoral office
- Procurement of modern ballot boxes
- Intermittent provision of advice and engagement in the political reform process
- Gender mainstreaming at all levels of the electoral process, including the development of a comprehensive gender-sensitive legal, regulatory, procedural, and operational and outreach framework for the electoral process

**Output 2:** *Integrity and Accuracy of the Voter Registry Enhanced*

Indicative Activities:

- Development of an options paper developing a more effective voter registry, including analysis of costs/benefits of linking with the civil registry's data-collection/removal strategy and system
- Provision of advice on the selected voter registry system's implementation and capacity building support in IT related issues to ensure its sustainability and cost-effectiveness
- Conduct feasibility study of combining data-collection for the civil registry with that of the voter registry
- Review legislation and options for moving to a continuously updated and maintained electoral registry.
- Development and rollout of training for officials at the provincial level on electoral processes as it relates to voter registration processes
- A focus on inclusion and how any system and its implementation gives equal opportunities to men and women to participate in its implementation (e.g. as trainers, officials) and in being registered

**Output 3:** *Ability to conduct voter education and raise public awareness strengthened*

Indicative Activities:

- Development of a website as an online archive and information management system for the electoral office
- Conduct assessment broken down by province on civic understanding and how different communities prefer to access information
- Build capacity of electoral office staff to train registration offices on voter and civic education (possible through BRIDGE)
- Support the development of education and awareness strategies of the electoral office based on the electoral cycle and timeline around an electoral event
- Based on this strategy, support targeted awareness campaigns on the importance of voter registration and the exercise of voting rights in the referendum and elections, on inclusive political participation and gender related aspects.

**Output 4:** *Legal Framework for Political Parties developed and* *capacity building on legal framework to key stakeholders* **provided**

Indicative Activities:

- Provision of technical adviser to undertake research and assist in drafting legal framework relating to political parties.
- National consultations held during the formulation phase of political party legislation including consultation meetings with key stakeholders, including women and youth, at national level as well as in Vanuatu's provinces.

Ongoing capacity building workshops and trainings for political parties and other relevant stakeholders held on a cross-party basis on the developing political party regulatory framework including relevant measures of parties to adhere to the new framework, with special emphasis on the inclusion of women and youth. The assistance will be provided in an impartial and equitable manner and in a way which is perceived to be politically neutral.

### *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, 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 the Pacific Regional Project that provides for governance expertise from the UNDP Pacific Office in Fiji in the field of Inclusive Political Processes.

The Vanuatu context offers an opportunity to make a large contribution to the stability and credibility of the Vanuatu electoral environment with minimum resources. The main result is also the main resource necessary for success, and that is human capacity within the Vanuatu Electoral Office. To build this UNDP will need to transfer knowledge through punctuated technical advice and support from the Bangkok Regional Hub. At least 3 months of total time per annum will be needed through these mechanisms to ensure delivery of the outputs. This support will be managed by the UNDP Vanuatu Project Manager in collaboration with a full time Technical Adviser in the Vanuatu Electoral Office. The implementation of the project will see the purchase of some materials (ballot boxes) and the update of equipment, but most will go the conduct and creation of research and the development of systems and processes that are cost-effective and sustainable.

### *Partnerships*

The main partnership will be the Vanuatu Electoral Office and Vanuatu Electoral Commission. However, to achieve increased capacity of these electoral authorities partnerships and relationships will have to be formed with other government agencies including the Ministry of Internal Affairs and Provincial Governments. It is expected the Electoral Office will have to work through and with these partners to deliver its mandate in a cost-effective and sustainable manner.

The project will work closely with ongoing UN agency projects to ensure synergies and cost-effectiveness. For example the UNDP / UNODC project on anti-corruption (UNPRAC) that has been working with Public Accounts Committees and parliamentarians in the region to increase financial transparency. This will be critical to both engagement and activities that involve parliament. In addition, UNICEF has been supporting

national authorities closely in the development of a civil registry, and the project will work closely with UNICEF on the issue of a voter registry to ensure coherent and strategic support that build on each other while avoiding duplication.

The Commonwealth and Australian Electoral Commission have both offered support to the Vanuatu Electoral Office in the past. The New Zealand Electoral Commission (Te Kaitiaki Take Kōwhir) is also an important regional partner. The Commonwealth Secretariat has been involved with supporting the political reforms process to date. Partnerships with these agencies and organizations will ensure clear delineation of responsibilities and the reinforcement of a holistic, mutually reinforcing framework of support to the Vanuatu Electoral Authorities.

### 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

In the development of the project a vast array of stakeholders were consulted, including women's groups, youth organizations and representatives from different geographical areas of Vanuatu. The project seeks to be as inclusive in its design and outreach as possible. Stakeholders for the project include the state actors identified in the sections above, and also through this work the general population of Vanuatu. A new voter registry would thus benefit and engage all eligible voters in Vanuatu as would any voter or civic education strategy. A specific focus of gender will be a part of all outputs.

### South-South and Triangular Cooperation (SSC/TrC)

The Pacific Islands and Australia and New Zealand Electoral Authorities (PIANZEA) Network supports the peer-to-peer exchange of knowledge on elections in the region. Vanuatu is a member and this network is a valuable resource to be utilized for South-South Cooperation in the region on a variety of technical issues. UNDP also brings its global network, and will link broader global experience with the Vanuatu context 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.

### Knowledge

The project will produce an updated website for the Vanuatu Electoral Authorities and other related assessments and education materials as highlighted under output 3. It will also produce options papers and operational plans as outlined in Output 1 and Output 2 that will have relevance to the work of the electoral authorities and committees established to discuss political and electoral reform.

### Sustainability and Scaling Up

The project will use existing systems and processes currently used by the Vanuatu Civil Service rather than creating parallel systems. This ensure both sustainability and cost-effectiveness of the technical and human resource assistance while promoting national ownership.

The project activities related to capacity building the electoral office are expected to enhance the capabilities within the electoral office. This will 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.

## V.    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 United Nations Development Assistance Framework (UNDAF) in the Pacific Annual Review and the Project Board. In addition, there are specific measures for ensuring cost-efficient use of resources through using a portfolio management approach.

*Project Management*

The project is expected to be implemented by the UNDP Effective Governance Team at the UNDP Pacific Office in Fiji through a project manager in Port Vila, Vanuatu. 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 Vanuatu with 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 Electoral Assistance Division.

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

➢  Project Manager
➢  Technical Adviser and International Consultants as required
➢  Administrative Officer
➢  Project Officer (United Nations Volunteer)

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 Electoral Assistance Division 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.

## VI.  RESULTS FRAMEWORK[8]

| Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework: |
| --- |
| **UNPS 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 |
| **Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:** |
| Indicators: Proportion of women (to men) participating as candidates in national elections |
| **Applicable Output(s) from the UNDP Strategic Plan:** |
| 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 |
| **Project title and Atlas Project Number:** Vanuatu Electoral Environment Project (VEEP) |

| EXPECTED OUTPUTS | OUTPUT INDICATORS[9] | DATA SOURCE | BASELINE | | TARGETS (by frequency of data collection) | | | | | DATA COLLECTION METHODS & RISKS |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| | | | Value | Year | Year 1 | Year 2 | Year 3 | Year 4 | FINAL | |

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| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| **Output 1**<br>*Institutional Capacities of the Electoral Authorities Strengthened* | IRRF Indicator: 2.2.2:<br>Electoral authorities with improved administrative and human resources capacities to fulfil mandate<br>To be assessed on the following rating scale:<br>0=UNDP is not building capacity of the electoral authorities<br>1=Capacity has not improved<br>2= Capacity very partially improved<br>3= Capacity partially improved 4= Capacity largely improved3<br><br>2.2.2 b) Proportion of women on the governing mechanism of the electoral management body | Post capacity building and training workshop reports.<br>Evaluation and feedback sheets by participants of capacity building activities.<br>Monitoring and evaluation missions. | Competency rating (qualitative indicator) | 0 | 3 | 3 | 4 | 4 | 4 | Project Team through data and information collection.<br>Technical specialists through training activities. |
| **Output 2**<br>*Integrity and Accuracy of the Voter Registry Enhanced* | IRRF Indicators:<br>2.2.2 a)<br>Proportion of eligible voters who are registered to vote, disaggregated by sex, age, and excluded groups. | *Data from pre-project voter registry.* | Number of people on the registry (Quantitative indicator) | | 70% | 90% | 95% | 95% | 95% | Project Team through data and information collection.<br>Technical specialists through training and outreach activities. |

| Output 3 *Ability to conduct voter education and raise public awareness strengthened* | IRRF Indicator 2.2.2Country with strengthened environments 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).<br><br>Degree of effectiveness should be scored using the following scale:<br>1=Low<br>2=Medium<br>3=High | Data from Parliamentary Secretariat.<br>Data from CSOs and NGO platforms or networks.<br>Project Activity Reports.<br>Media reports. | Effectiveness rating (qualitative indicator) | None | Low | Low | Medium | Medium | Medium | Project Team through data and information collection.<br>Technical specialists through training and outreach activities. |
|---|---|---|---|---|---|---|---|---|---|---|

| Output 4: Legal Framework for Political Parties developed and support to political parties provided | IRRF Indicator 2.2.2 Adoption and implementation, with UNDP assistance, legal and regulatory frameworks that enable political parties to function in the public sphere and contribute to sustainable development: a) Women's groups b) Youth groups c) Groups representing other marginalised populations **Project Level Indicator** Extent of legal framework developed Degree of effectiveness should be scored using the following scale: 1=Low 2=Medium 3=High | Data from Electoral office Data from political parties and NGO platforms or networks. Project Activity reports. Media reports | Effectiveness rating (qualitative indicator) | None | Low | Low | Medium | Medium | Medium | |
|---|---|---|---|---|---|---|---|---|---|---|

## VII.    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 | | | |

| | | | | | |
|---|---|---|---|---|---|
| | 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. | (final report) | | | |
| **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. | | |

## VIII. MULTI-YEAR WORK PLAN [10][11]

*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 | | |
|---|---|---|---|---|---|---|---|---|---|
| | | 2017 | 2018 | 2019 | 2020 | | Funding Source | Budget Description | Amount |
| **Output 1**<br>*Institutional Capacities of the Electoral Authorities Strengthened* | 1.1 Development of TORs (and negotiations with relevant government institutions) and implementation of a graduate programme that sees two graduates employed with the electoral office over a two-year period | 0 | 0 | 10,000 | 10,000 | UNDP | | International Consultant, Travel and DSA | 20,000 |
| | 1.2 Development of operational plan and structure for the electoral office to be able to fulfill its mandate | 20,847 | 10,800 | 0 | 0 | UNDP | | National Consultant | 31,647 |

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[10] 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

[11] 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.

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | 1.3 Identification and roll out of capacity building efforts for the electoral office (this may involve human, financial and material resources) | 0 | 20,000 | 20,000 | 10,000 | UNDP | | Workshops, training, south/south cooperation | 50,000 |
| | 1.4 Study investigating the suitability of an increased staffing structure within a decentralized framework | 0 | 10,000 | 0 | 0 | UNDP | | International consultant, Travel and DSA | 10,000 |
| | 1.5 Development of strategy for recruitment and training of registration offices | 0 | 10,000 | 10,000 | 0 | UNDP | | Workshop, International consultant, DSA and travel | 20,000 |
| | 1.6 Codifying and digitizing all knowledge and information within the electoral office | 0 | 10,000 | 10,000 | 10,000 | UNDP | | Local consultant | 30,000 |
| | 1.7 Procurement of modern ballot boxes | 7,326 | 10,000 | 0 | 0 | UNDP | | Procurement | 17,326 |
| | 1.8 Development of a comprehensive gender-sensitive legal, regulatory, procedural, and operational and outreach framework for the electoral process | 0 | 30,000 | 15,000 | 15,000 | UNDP | | International and local consultant, DSA and travel | 60,000 |
| | 1.9 Effective technical advisory services and project implementation[12] | 13,840 | 44,750 | 89,500 | 89,500 | UNDP | | Staff Personnel and Office costs | 237,590 |

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[12] International senior technical adviser to the project, project manager and project staff implementing the project.

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | 1.10 Direct Project Costs[13] | 180 | 5,000 | 5,000 | 5,000 | UNDP | | Operational costs and Service Charges | 15,180 |
| | **Sub-Total for Output 1** | 42,193 | 150,550 | 159,500 | 139,500 | | | | 491,743 |
| | | | | | | | | | |
| **Output 2** <br> *Integrity and Accuracy of the Voter Registry Enhanced* | 2.1 Negotiations with relevant government institutions and development of an options paper developing a more effective voter registry, including analysis of costs/benefits of linking with the civil registry's data-collection/removal strategy and system | 0 | 40,000 | 0 | 0 | UNDP | | International consultant, DSA and travel, workshop | 40,000 |
| | 2.2 Provision of advice on the selected voter registry system's implementation and capacity building support in IT related issues to ensure its sustainability and cost-effectiveness | 0 | 30,000 | 30,000 | 30,000 | UNDP | | International consultant, DSA and travel, workshop and trainings | 90,000 |
| | 2.3 Conduct feasibility study of combining data-collection for the civil registry with that of the voter registry | 0 | 20,000 | 20,000 | 0 | UNDP | | International and local consultant, DSA and travel, south-south cooperation | 40,000 |

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

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | 2.4 Review legislation and options for moving to a continuously updated and maintained electoral registry | 0 | 20,000 | 0 | 0 | UNDP | | International Consultant | 20,000 |
| | 2.5 Development and rollout of training for officials at the provincial level on electoral processes as it relates to voter registration processes | 0 | 50,000 | 40,000 | 40,000 | UNDP | | International Consultant, National consultants, workshops, travel, DSA | 130,000 |
| | 2.6 Effective technical advisory services and project implementation[14] | 0 | 44,750 | 89,500 | 89,500 | UNDP | | Staff Personnel and Office costs | 223,750 |
| | 2.7 Direct Project Costs[15] | 0 | 5,000 | 5,000 | 5,000 | UNDP | | Operational costs and Service Charges | 15,000 |
| | **Sub-Total for Output 2** | 0 | 209,750 | 184,500 | 164,500 | | | | 558,750 |
| | | | | | | | | | |
| | | | | | | | | | |
| | | | | | | | | | |
| **Output 3**<br><br>*Ability to conduct voter education and raise public awareness* | 3.1 Development of website as an online archive and information management system for the electoral office | 0 | 30,000 | 10,000 | 5,000 | UNDP | | International and national consultants, DSA and Travel | 35,000 |

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[14] International senior technical adviser to the project, project manager and project staff implementing the project.

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

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| *strengthened* | 3.2 Conduct assessment broken down by province on civic understanding and how different communities prefer to access information | 0 | 50,000 | 20,000 | 20,000 | UNDP | | Workshops, DSA and Travel, consultant | 90,000 |
| | 3.3 Build capacity of electoral office staff to train registration offices on voter and civic education | 0 | 19,200 | 25,000 | 25,000 | UNDP | | Training, curriculum development, workshops | 69,200 |
| | 3.4 Support the development of education and awareness strategies of the electoral office based on the electoral cycle and timeline around an electoral event | 14,969 | 10,000 | 10,000 | 10,000 | UNDP | | Workshops, consultant | 44,969 |
| | 3.5 Based on this strategy, support targeted awareness campaigns on the importance of voter registration and the exercise of voting rights in the referendum and elections, on inclusive political participation and gender related aspects. | 0 | 40,000 | 40,000 | 40,000 | UNDP | | Workshops, travel, DSA, materials | 120,000 |
| | 3.6 Effective technical advisory services and project implementation[16] | 640 | 44,750 | 89,500 | 89,500 | UNDP | | Staff Personnel and Office costs | 224,390 |

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[16] International senior technical adviser to the project, project manager and project staff implementing the project.

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | 3.7 Direct Project Costs[17] | 267 | 5,000 | 5,000 | 5,000 | UNDP | | Operational costs and Service Charges | 15,267 |
| | **Sub-Total for Output 3** | 15,876 | 198,950 | 199,500 | 194,500 | | | | 608,826 |
| | | | | | | | | | |
| | | | | | | | | | |
| **Output 4:** *Legal Framework for Political Parties developed and support to political parties provided* | 4.1 Technical advice in development of legal framework related to political parties | 0 | 30,000 | 20,000 | | UNDP | | Consultant, Travel, DSA | 50,000 |
| | 4.2 Support national consultations during the development of legal framework related to political parties | 0 | 40,000 | 50,000 | | UNDP | | Workshops, travel, DSA, Consultant, materials | 90,000 |
| | 4.3 Support political parties to understand and adhere to legal framework | 0 | 20,000 | 35,000 | 35,000 | UNDP | | Workshops, , Consultant, materials | 90,000 |
| | 4.4 Effective technical advisory services and project implementation[18] | | 44,750 | 89,500 | 89,500 | UNDP | | Staff Personnel and Office costs | 223,750 |
| | 4.5 Direct Project Costs[19] | 0 | 5,000 | 5,000 | 5,000 | UNDP | | Operational costs and Service Charges | 15,000 |
| | **Sub-Total for Output 4** | 0 | 139,750 | 199,500 | 129,500 | | | | 469,750 |

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

[18] International senior technical adviser to the project, project manager and project staff implementing the project.

[19] Refer to Footnote 16.

| Evaluation *(as relevant)* | Lessons learned and final project evaluation completed | 0 | 0 | 0 | 15,000 | UNDP | | International Consultant Travel and DSA | 15,000 |
|---|---|---|---|---|---|---|---|---|---|
| **Total Project Costs** | | 58,069 | 699,000 | 743,000 | 628,000 | | | | 2,128,069 |
| **General Management Support** | General Management Service (GMS) Fees 8% | 0 | 55,920 | 59,440 | 50,240 | | | | 165,600 |
| TOTAL | | 58,069 | 754,920 | 802,440 | 678,240 | | | | 2,293,669 |

## IX.    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 Project Manager, 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 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 Project Manager is responsible for the everyday management and decision-making of the project. The Project Manager'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 Project Manager, 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, through the 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.
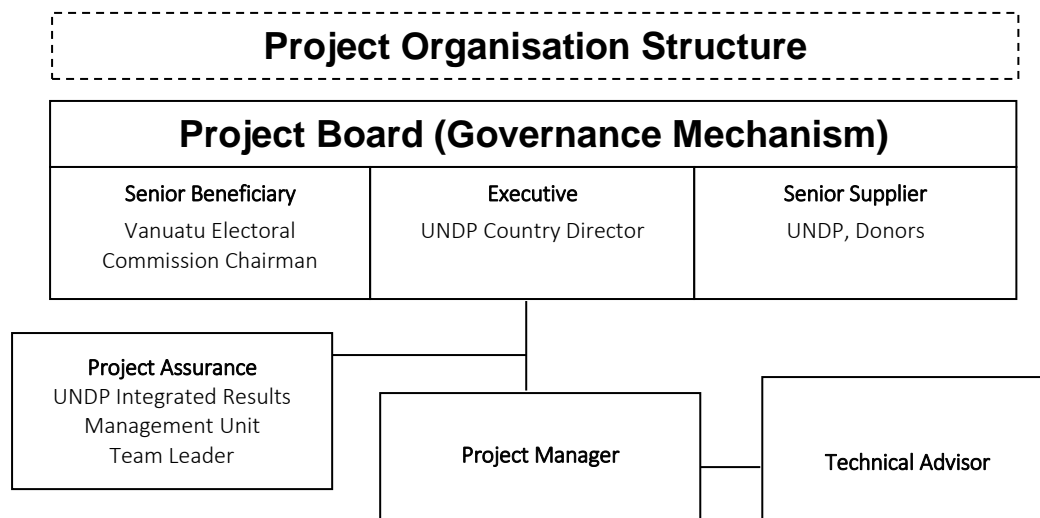
## X. LEGAL CONTEXT AND RISK MANAGEMENT

See Annex 5

# XI.  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 | Vanuatu Electoral Environment Project (VEEP) |
| 2. Project Number (ID) | 0009159 |
| 3. Location (Global/Region/Country) | Vanuatu |

## 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 Vanuatu. 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. The project will develop a locally-based targeted women's political participation strategy. 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 to Vanuatu Electoral Commission 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 Vanuatu.

**Part B. Identifying and Managing Social and Environmental <u>Risks</u>**

| QUESTION 2: What are the Potential Social and Environmental Risks?<br><br>*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?<br><br>*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 = <br> P = | | | |
| Risk 2: no risks identified | I = <br> P = | | | |
| Risk 3: no risks identified | I = <br> P = | | | |
| Risk 4:no risks identified | I = <br> 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**

| 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 <u>Risks</u> | |
|---|---|
| **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? [20] | 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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[20] 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 and ecosystem services? *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?<br><br>*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[21] 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)?<br><br>*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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[21] 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.]

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| | 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?[22] | 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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[22] 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.

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| 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 Vanuatu 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 | 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. |
| 6 | Change in priority areas for stakeholders resulting in lack of priority to implement project activities. | Political Organisational Strategic | Probability - 2 Impact - 2 | With the Project Board ongoing review on Project Theory of Change and adjustments if feasible. Some flexibility in project design, for example in selection of training and workshop topics. Avoid abrupt and unilateral changes adopting a more measured and inclusive response. Identify priorities through inclusive annual planning processes along with long term guide points. |

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| 7 | Reduction in ownership and engagement by stakeholders and project results in delays or halt to project implementation. | Political 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. |
| 8 | 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. |
| 9 | 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. |
| 10 . | Political parties are resistant to development of legal framework | Political Startegic | Probability – 2 Impact – 3 | Widespeard consultation with political parties to be undertaken during formulation stage. Regular meetings with key stakehodlers to ensure positive information flow between the project and political parties. |

**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 Project Manager, 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[23]. 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 Project Manager. This group is consulted by the Project Manager 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 Project Manager 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 Project Manager'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 Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;

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[23] 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.

- Agree on Project Manager'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 project manager'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 Project Manager
- 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 Project Manager; therefore the Project Board cannot delegate any of its assurance responsibilities to the Project Manager. 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.