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**PROJECT DOCUMENT**  
**UN ELECTORAL SUPPORT**  
**Somalia**

**Project Title:** UNDP/UNSOM Joint Programme for Support to Universal Suffrage Elections in the Federal Republic of Somalia

**Award/ Project Number:** 000107518

**Implementing Partner:** NIEC, UNDP and UNSOM

**Overall horizon:** 1 January 2018 to 31 December 2021

**Phase I:** Start Date 1 January 2018 – End Date 31 December 2018

**LPAC Meeting date:** 20 Dec 2017

**Brief Description**

While a multiple-year horizon is envisaged to assist the Federal Republic of Somalia with the preparation of the first universal nation-wide multi-party parliamentary elections since 1969, the immediate scope of the Phase I “Joint Programme for Support to Universal Suffrage Elections” focuses on the crucial electoral preparatory steps to be taken in 2018, in particular the development of the Electoral Law, the capacity building and institutional development of the National Independent Electoral Commission (NIEC), and support to pre-election operations such as preparations for voter registration, public awareness, political party registration, assessment of voting catchment areas, (sub-)national stakeholder engagement and outreach, as well as the development of electoral procedures and regulations. The Somali Government committed at the International Conference on Somalia, in London in May 2017, to have the Electoral Law developed by the end of 2018. In addition, also in 2018, the NIEC requires an agreed and accepted voter registration methodology, which is scheduled to start in 2019, in accordance with its Strategic Plan. In this respect, by end of 2018, partners will take stock of progress and review the Joint Programme for the next phase in preparation of nation-wide universal elections. As the current legislative term for both houses of parliament expires at the end of 2020, the Mogadishu Agreement on 5 November, 2017, between the Federal Government of Somalia (FGS) and the Federal Member States underscored the commitment to universal elections in 2020, and to support the NIEC in this process.

Contributing Outcome (UNDAF/CPD, RPD or GPD): **Somali political processes are broadly inclusive and benefit Somali men and women.**

Indicative Output(s) with gender marker<sup>2</sup>:  
**Output 1.3: Somali institutions are enabled to run independent, impartial, transparent and inclusive elections**

**Output 1.4: Somali women’s representation and participation in politics and public sector institutions enhanced**

<b>Total resources required:</b>	2018: USD 6,500,000	
<b>Total resources allocated:</b>		
	<b>UNDP TRAC:</b>	
	<b>Donor:</b>	
	<b>Government:</b>	
	<b>In-Kind:</b>	
<b>Unfunded:</b>		

Agreed by

NIEC	UNDP
Signature:	Signature:
Halima Ismail Ibrahim, NIEC Chairperson	George Conway Country Director
Date:	Date:

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## I. EXECUTIVE SUMMARY

The Federal Government of Somalia (FGS) has confirmed in 2017, in different conferences, its commitment to conduct direct universal elections by 2020. This commitment was underscored in the Mogadishu Agreement between the FGS and the Federal Member States of Somalia (FMS) on 5 November 2017. At the end of the term of the current Federal Parliament of Somalia in 2020, the new MPs are expected to be elected for the first time since 1969 through direct universal and multi-party elections<sup>1</sup>. The National Independent Electoral Commission (NIEC), established in 2015, is responsible for conducting the elections, including political parties registration, voter registration, voter education, polling centre allocation, establishment of the electoral timeline, conduct of electoral operations and logistics, results management, and announcement of the results. According to its Strategic Plan, the NIEC has planned the next elections of the Federal Parliament at the end of 2020. The NIEC comprises nine commissioners who were appointed in July 2015. A Secretariat is being established since 2016 as its operational arm, which still requires a presence and operational capacity at the sub-national level. While the law establishing the NIEC was adopted by Federal Parliament in early 2015, the remaining electoral legal framework has yet to be finalized. Somalia's system of representation (the electoral system) will be a critical component of the electoral law. The Ministry of Interior, Federal Affairs and Reconciliation (MOIFAR) has the lead role in the Executive in drafting an electoral law together with other stakeholders, followed by the submission of the draft bill to the Parliament.

The following are priorities for Somalia to move forward on its path towards universal elections:

- Legal Framework: The electoral law is a priority, and will define the future system of representation, including the type of electoral system, the constituencies, and their respective seat allocations. The FGS has committed to complete the development of the Electoral Law in 2018, including passage of the electoral legislation by parliament.
- Administrative Framework: A nation-wide election administration system and capacity must be established including at sub-national level.
- Voter Registration: A method must be agreed and implemented that upholds voting rights of all eligible citizens.
- Political Party Registration: Will permit legal establishment of political parties.
- Electoral Security: Planning and security coordination is necessary prior to the commencement of voter registration and conduct of electoral operations.
- Results Dispute Resolution Mechanism: A robust results adjudication mechanism has to be established within a supporting rule of law framework.
- Voter Education: Given that the last universal elections have not been held since 1969, extensive voter education campaigns have to be planned and implemented for different key phases in the electoral process, including voter registration.
- Demonstrated political and budgetary support: NIEC needs full support from FGS, and cooperation / coordination from Federal Member States (FMS).

The United Nations has been providing electoral assistance to the Federal Republic of Somalia since 2014 through the UN Integrated Electoral Support Group (IESG) comprising the United Nations Assistance Mission to Somalia (UNSOM) and the United Nations Development Programme (UNDP) in Somalia. In line with UNSOM's renewed mandate, UNSOM's Strategic Framework, UNDP Somalia's Country Programme Document, and informed by the NIEC's Strategic Plan for 2017-2021, a UN electoral Needs Assessment Mission (NAM) recommended in July 2017 that the UN continues to support Somalia's preparations for universal elections, adhering to the following guiding principles:

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<sup>1</sup> The 10<sup>th</sup> Federal Parliament of Somalia was inaugurated on 26 December 2016, with a four-year mandate until the end of 2020. It is the mandate of the NIEC to establish the electoral calendar in line with the legal provisions. The Federal President was elected indirectly by the Parliament on 8 February 2017 with a four-year term until 2021.

- The UN's electoral support to Somalia will be aligned with the country's National Development Plan and the pillar of "inclusive politics", and informed by the NIEC Strategic Plan;
- A focus on the preparations of universal suffrage elections in Somalia at the national level, in particular by enhancing NIEC's capacity development to plan and conduct nation-wide elections;
- The UN will support the Federal Government of Somalia and the international community in the consideration of a balanced approach between long-term objectives as well as short-term electoral imperatives of voter registration for universal elections;
- Gender mainstreaming is to be enhanced in electoral processes and strengthening Human Rights principles are an inclusive aspect of the UN's electoral support.

While a multiple-year horizon is envisaged to assist the Federal Republic of Somalia with the preparation of the first universal suffrage multi-party elections since 1969, the immediate scope of the new "UN Joint Programme for Support to Universal Suffrage Elections" - hereafter also referred to as the UN Joint Programme for Electoral Support - focuses on the crucial electoral preparatory steps to be taken in 2018 (phase I), in particular the development of the Electoral Law, the capacity building and institutional development of the National Independent Electoral Commission (NIEC), and support to pre-election operations such as preparations for voter registration, political party registration, public awareness, assessment of polling catchment areas, (sub-)national stakeholder engagement and outreach, as well as the development of electoral procedures and regulations. The Somali Government committed at the London Conference (May 2017) to have the Electoral Law developed by the end of 2018. In addition, in accordance to its Strategic Plan, the NIEC has to make in 2018, an informed decision on the methodology of the voter registration (planned for 2019), agreed and accepted by relevant key stakeholders. In this respect, by end of 2018, partners will take stock to measure progress and review the Joint Programme for the next phase in preparation of nationwide universal elections. Furthermore, the UN's electoral support would build on the existing technical support and should in the upcoming period primarily focus on the following areas:

- sustained technical institutional capacity-building of the NIEC at national and state-level in various aspects of electoral administration and operations;
- support to the NIEC in planning and implementing electoral operations, such as preparations for voter registration, assessment of voter catchment areas, results transmission and adjudication of disputes;
- support for the registration of political parties;
- physical establishment of the Commission at national and state-level;
- technical support to MoIFAR and Parliament for the development of the electoral legal framework and related legislation;
- management of an election-related multi-partner trust fund
- coordination of international electoral support; and
- technical advice and support for security planning and coordination.

Translated into outputs, the UN electoral support programme is structured around the following outputs and deliverables by the end of 2018:

	<b>Outputs</b>	<b>Key results expected by end of 2018</b>
<b>Output 1</b>	<u>Capacity Development</u> - NIEC equipped with necessary capacities and structures to prepare for and conduct credible and inclusive elections	<ul style="list-style-type: none"> <li>▪ NIEC institutional structure strengthened including NIEC presence in the FMS</li> <li>▪ NIEC capacity development and training plan developed and implementation commenced</li> </ul>
<b>Output 2</b>	<u>Public awareness and stakeholder engagement</u> - NIEC supported to enhance public awareness of electoral processes, including	<ul style="list-style-type: none"> <li>▪ NIEC external relations strategies developed and implemented for engagement with stakeholders at national and sub-national level</li> <li>▪ NIEC public outreach and voter education campaigns</li> </ul>

	promotion of women's participation	developed to raise awareness of NIEC role and women's participation in electoral processes
<b>Output 3</b>	<u>Electoral operations</u> - NIEC supported in preparations for electoral operations	<ul style="list-style-type: none"> <li>▪ NIEC ongoing temporary registration of political parties</li> <li>▪ NIEC takes informed decision on VR methodology based on feasibility study, and agreed by key stakeholders; NIEC VR plan completed including specific measures to enhance women's registration</li> <li>▪ Voting catchment areas assessed and allocation of VR centres/polling centres underway</li> <li>▪ Re-establishment of the Somalia electoral security taskforce and de-politicized polling areas' threat assessment</li> </ul>
<b>Output 4</b>	<u>Construction</u> - Establishment of independent and permanent NIEC office facilities	<ul style="list-style-type: none"> <li>▪ Funding for Phase 2 (NIEC Permanent Office in Mogadishu)</li> </ul>
<b>Output 5</b>	<u>Electoral Law</u> - Development of an enabling electoral legal framework supported	<ul style="list-style-type: none"> <li>▪ Electoral law adopted by Parliament</li> </ul>
<b>Output 6</b>	UN Joint Programme management	<ul style="list-style-type: none"> <li>▪ Sound implementation of the agreed Work Plan and responsible resource management</li> </ul>

By the end of 2018, stock will be taken by all partners on progress and different crucial milestones, in particular the development of the electoral law, and the NIEC's informed decision on an agreed and accepted voter registration approach. Depending on the technical progress as well as the political context, and informed by a new UN Needs Assessment Mission in 2018, the scope of the UN Joint Programme for Electoral Support will be reviewed and expanded accordingly, in light of the next envisaged electoral operations, including the parameters of a voter registration exercise in 2019.

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## **II. DEVELOPMENT CHALLENGE**

### **Overall political context**

#### **2016 electoral process**

In February 2017, the limited franchise and intra-clan ‘2016 electoral process’ for a new Federal Parliament and President came to a conclusion with the indirect election of Mohamed Abdullahi Mohamed “Farmajo” as the new President of the Federal Republic of Somalia. As a sign of success, both the outgoing Parliament and President handed over in a democratic and dignified manner the responsibility of their constitutional mandate to their successors. The tenth Parliament comprises a re-elected House of the People and a newly established Upper House. The current House of the People is based on 275 ‘clan-based’ seats, while the 54-member Upper House consists of members elected by their respective regional assemblies. Nearly 25 per cent of the new Parliament are women, a significant increase compared to the 14 per cent in the previous Parliament. Overall, over 50 percent of the MPs are new. About 18 per cent of the elected MPs are under 35 years old. The process by which the Federal Parliament and the Federal President of Somalia were elected in 2016 could be an initial milestone on the road to establishing workable representative institutions at a federal level in Somalia. However, it was essentially a political process with some electoral features. It was an event with an extremely limited franchise (approximately 13,000 “voters” participated, in a country with an estimated voting population of roughly 6.5 million), implemented by interim and ad-hoc appointed federal and state level EMBs. Therefore, in reality this process did not test the ability of Somali stakeholders to organize genuine elections with universal franchise.

#### **The Federal Government’s commitment to universal elections**

Somalia has in the current inter-elections period a genuine opportunity to stabilize further the country and advance on its peacebuilding and state-formation agenda. Despite its imperfections and limited nature, the past 2016 electoral process demonstrated Somalia’s aspirations to reach a functional federal state with more stable political institutions. It resulted in the country’s peaceful transition to a new bicameral Parliament as the outcome of the 2016 electoral process, and the Parliament’s election of President Mohamed Abdullahi Mohamed “Farmajo” on 8 February 2017 was widely welcomed across the country. A new federal cabinet under Prime Minister Hassan Ali Khayre was approved by Parliament on 29 March 2017. The new government has set a number of priorities to put Somalia firmly on the path of peacebuilding, including the holding of universal suffrage by 2020. In May 2017, Somalia’s government committed at the London Conference on Somalia for holding general universal suffrage elections by 2021 and the development of an electoral law by the end of 2018. This commitment was renewed in the Mogadishu Agreement on 5 November 2017, where the Federal Government (FGS) and the Federal Member States of Somalia (FMS) agreed:

- a. To engage and consult jointly on one-person-one vote electoral process in Somalia by creating viable environment for its realization.
- b. The National Independent Electoral Commission (NIEC) has to undertake inclusive consultations within ninety days to allow political agreement to be made on the challenges facing elections.
- c. The National Independent Electoral Commission (NIEC) to be fully supported, solicit funding for the 2020 elections, and with efforts geared towards local resource mobilizations and thereafter seek International Community’s assistance.

#### **Somalia’s state development challenges – constitutional review, federalism, security**

The immensity and complexity of the challenges in preparing for universal elections in Somalia are significant. Structural federalism issues remain unresolved. During the 2016 electoral process, an [extra-constitutional] National Leadership Forum (NLF) was formed consisting of federal and regional leaders as the mechanism for building consensus on key decisions. The review of the Provisional Constitution of 2012,

currently ongoing, is to define the federal structure of Somalia in terms of distribution of powers, jurisdiction and resources. There has also been very limited progress on developing the required administrative and electoral legal framework for universal elections. Furthermore, while a rudimentary federal state structure now exists with the formation of administrations in Jubbaland, South-West, Galmudug and Hirshabelle, which, together with Puntland, form the emerging and established Federal Member States (FMS), the status of the federal capital and the issue of “Somaliland” remain unresolved. In addition, stability of Somalia will continue to be threatened by the presence and activity of anti-government elements and other groups, as well as the drought situation and risk of famine affecting large parts of the country. Security will continue to remain a key issue notably in view of the eventual drawdown of AMISOM and the need to support the capacity of Somali security institutions to assume responsibility for security. On top of this, the country’s ability to raise sovereign revenues independently is very limited.

While these issues pose significant challenges to universal elections in 2020, the political will for universal elections is a prerequisite. Crucially, the institution mandated to hold such elections, the National Independent Electoral Commission (NIEC), must be prepared with the necessary institutional, operational and human resource capacity to plan for, prepare and implement universal suffrage elections by 2020.

### **Gender representation challenges**

The 2016 parliamentary election in Somalia marked a milestone in the long struggle of Somali women for empowerment; with 25 percent seats for women in the new Parliament, compared to 14 percent in the previous Parliament. Extensive national consultations recognized the importance of inclusive political processes, and provided commitments for equitable participation and representation of women, youth and other minority groups. The country’s National Leadership Forum committed to a minimum quota of 30 per cent seats for women in parliament, and subsequent appointment of good will ambassadors to spearhead this course. Despite this achievement, balanced and equitable political representation remains a challenge for Somali women. Cultural norms which reinforce the traditional roles of women in the domestic sphere, weak economic status, lack of enabling legal and policy frameworks (worth noting that the declaration was not based on any affirmative action policy or legal framework); and the patriarchal systems which characterize the political space largely limit the influence of women. The barriers to women’s participation in politics and decision-making in Somalia need to be addressed to challenge gender stereotypes, reshape societal values and belief of women’s ability and role, and secure pathways for women’s equitable representation in political processes, and ultimately the elections in 2020.

### **Theory of Change: Societal divisions and exclusion vs moving beyond clannism and preparations for universal electoral processes**

With political representation still limited to a small part of society, high levels of unemployment, vulnerability to violent conflict and natural disasters, the Somali society remains characterized by exclusion. The Social Institutions and Gender Index for 2014 places Somalia on the 6th lowest position in the world, with ‘very high’ discriminatory family codes, ‘very high’ levels of restricted physical integrity, and a ‘very high’ level of restricted resources and assets.<sup>2</sup> Somalia has not ratified the Convention on the Elimination of all Form of Discrimination against Women (CEDAW) - a framework that reaffirms faith in fundamental human rights, in the dignity and worth of the human person and in the equal rights of men and women, highlighting the principles of non-discrimination, substantive quality and the state obligations to formulate gender responsive policy and legal frameworks. The convention outlines substantive provisions on women’s rights.

Despite the existence of minority groups, Somali society is relatively homogenous linguistically (Somali) and religiously (Islam). Lineage underpins Somali society, with divisions defined along clan and sub-clan lines.

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<sup>2</sup> OECD Development Center, Social Institutions and Gender Index, 2014. Somalia is amongst the few counties that have not ratified the Convention on the Elimination of all Forms of Discrimination against Women (CEDAW).

Clannism and clan cleavages have been a source of conflict—used to divide Somalis, fuel endemic clashes over resources and power, used to mobilize militia, and make broad-based reconciliation very difficult to achieve. Most of Somalia’s armed conflicts have been fought in the name of clan, often as a result of political leaders manipulating clannism for their own purposes. The most vulnerable remain internally displaced persons, in particular women and girls, and members of minority clans.

The participation and role of women and youth in leadership and decision-making, including the clan-based political structure, is extremely limited, perpetuating these gender inequalities and contributing to the disenfranchisement of young Somalis. While the National Leadership Forum committed to a number of measures to enhance women participation in the 2016 process, the achievements were mainly the result of intense advocacy efforts undertaken by representatives of women’s groups, the Federal Government of Somalia (FGS)-appointed Committee of Goodwill Ambassadors together with the international community.<sup>3</sup> There are currently no legally binding provisions or accountability mechanisms in place to guarantee women’s inclusive representation. Throughout the 2016 process, women were faced with strong resistance and obstruction by several traditional and religious leaders for the women-reserved seats.

As enshrined in the founding principles of the Federal Somali Constitution, particularly Article 3(5), “women must be included, in an effective way, in all national institutions, in particular all elected and appointed positions across the three branches of government and in national independent commissions.” Furthermore, inclusive political participation for all Somalis, including minorities, women, youth, disabled and displaced – notably through the focus on universal elections -has been identified as a priority for both the government and the international community. With an estimated eight out of ten Somalis younger than 35 years old, the fate of Somalia rests with the youth and their ability to influence the country’s direction. However, opportunities for youth to engage politically, economically or socially remain weak or non-existent. The space and opportunities are even further restricted for girls and young women. Exclusion has created frustration and demoralization among youth forcing many to embark on an often dangerous journey across borders searching for better lives. Those that stay behind are often vulnerable to crime, drugs, radicalism, piracy and recruitment by armed groups.

A key lesson learned from the 2016 process has been the need to continue to advocate for and promote in a coordinated manner the participation of women, marginalized groups, IDPs, and persons with disabilities’. The creation of an enabling environment for the participation of all segments of Somali society will require a consistent and coordinated effort on the part of the NIEC, FGS, and the international community. The constitutional review process, for example, provides an important opportunity to institutionalize the minimum 30 percent quota and to guide provisions on gender parity in other key legislation pertaining to elections.

While the 4.5 formula was helpful in reaching agreement for the composition of parliament in the transitional period pending universal elections, it is not envisaged in the future political dispensation. Preparations for universal elections therefore represent a historical and decisive step forward, and move Somalia beyond clan-based power-sharing agreements towards inclusive, universal and equal suffrage. Conducting universal one person one vote elections requires a new legislative framework that will underscore an inclusive and credible electoral process, and which must be consistent with the Constitutional review, and ultimately passed through the legislative process in parliament. Furthermore, citizenship legislation will define voter eligibility and determine who can be a candidate. It is also a primary responsibility of any electoral authority to ensure that the right to vote for eligible citizens is upheld through an effective voter registration exercise, and that voters are made aware of their rights and responsibilities in this regard. In addition, a political party system based on policy platforms should begin to eclipse the clan-based system and promote broader citizen participation in political life, which requires

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<sup>3</sup> Measures taken to enhance women’s political participation and representation in the 2016 process included: a) the NLF committing to reserving 30 percent of the seats in both Houses of Parliament for women, b) 30 percent of the electoral college delegates to be women, 30 percent of the members of the FIEIT and SIEITs to be women, c) 50 percent reduction of candidate registration fees for female candidates, d) 30 percent of the members of the IEDRM to be women, e) the establishment of the Committee of Goodwill Ambassadors to advocate for women’s political participation and representation.



promotion of a multi-party system within the National Federal Parliament during the coming two years. While significant challenges remain to moving Somalia to an inclusive cross-community system of power sharing, the 2016 Political Party Law is an opportunity for moving the country towards a more inclusive power sharing system. The Political Party Law seeks to establish political parties with a national outlook, with the intention to gradually move the country beyond the 4.5 clan based power sharing formula that foresaw equal representation for the four major clans and space for minorities in the 2016 process. Establishing a political party system is a long-term effort that will require political will and the institutional capacity to move towards the new system in a transparent, inclusive and credible manner. The mandate to register political parties lies with the NIEC.

## **SDGs - Inclusive Politics**

The new government's vision of a more inclusive political agenda is in line with the new Sustainable Development Goals (SDGs) adopted by UN Member States under the theme 'Transforming Our World: the 2030 Agenda for Sustainable Development'. The new Agenda builds on the Millennium Development Goals with a wide range of commitments for the implementation of economic, social, and environmental objectives to achieve more peaceful and inclusive societies by 2030. SDG Goal 16, which calls on Member States to "Promote peaceful and inclusive societies for sustainable development, provide access to justice for all, and build effective, accountable, and inclusive institutions at all levels", is particularly relevant in the Somali context and sets the basis for UN's electoral programming. Target 6 of SDG 16 commits to "develop effective, accountable and transparent institutions at all levels" while Target 7 sets to "ensure responsive, inclusive, participatory and representative decision-making at all levels". These goals recognize and demonstrate the importance of strengthening participatory, inclusive, and accountable decision-making and institutions for the achievement of peaceful and sustainable development outcomes.

In addition to Goal 16, the UN Electoral Support Programme's focus on promoting inclusion of disadvantaged or marginalized groups, including women, falls within SDG Goal 5 which aims to achieve gender equality and empower all women and girls. Target 5.5 of SDG 5 is to "ensure women's full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life" and Target 5.9 is to "adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels." Addressing these challenges will be one of the key obstacles for Somalia to achieve both stability and progress towards effective, accountable and transparent institutions, and to demonstrate responsive, inclusive, participatory and representative decision-making at all levels.

## **National Independent Election Commission (NIEC)**

In February 2015, the Federal Parliament passed the Bill on the establishment of the NIEC. The NIEC is the constitutionally-mandated national commission, responsible for conducting Presidential and Federal Parliamentary elections. The Constitution states that the NIEC shall be "independent of the Executive and shall manage its own budget". It comprises a nine-member Board of Commissioners, selected by the Parliament in a legally prescribed manner, and a Secretariat which is its operational arm; the NIEC law stipulates that at least two of the nine-member commission must be women. The Commissioners, appointed and sworn in in June and July 2015, respectively. The NIEC has extensive duties and responsibilities, which include the following: a) Preparation and management of elections at federal, regional and district levels, as well as public referenda; b) raising public awareness on the general conduct of the elections, instructions and any other election-related matters; c) delimitation of electoral wards, registration of the voters, counting the votes and declaration of results; d) The regulation of the political party system, including political party registration in line with the relevant legislation, and e) adjudication of electoral disputes.

In 2017, the NIEC adopted a five-year strategic plan (2017-2021) which articulates the various processes and electoral operations down to the announcement of results, including the various responsible institutions and stakeholders, as well as an implementation timeline. The strategic plan serves as a foundation document not only for operational planning, budgeting, the development of various

programmes and activities of the NIEC, but also for the prioritization by the FGS and Parliament of the constitutional review, and adoption of relevant legislation.

The nascent NIEC requires extensive support not only to build its capacity as a professional electoral management body, but also to establish itself as a legitimate democratic institution in the state-building process. The role of the NIEC as a key institution of democracy and its ability to prepare itself, the voters and the general public for the holding of universal elections is critical to the country's consolidation of electoral democracy and to thwarting violent extremism.

## **UN Integrated Electoral Support Group (IESG) – achievements 2014/15-2017**

Established in 2014, the UNSOM/UNDP Integrated Electoral Support Group (IESG) comprises electoral advisers and experts from UNSOM and UNDP and has been recognized as a successful example of UN integrated electoral support. IESG received UN core funding and support from the Mission as well as from donor partners from the Multi-Partnership Trust Fund (MPTF) to its Joint Programme, which is administratively managed under UNDP. MPTF donor partners from 2015 until 2017 include: the European Union, Germany, Italy, Norway, Sweden, the United Kingdom and the United States. Bilateral funding was received in 2016 from Japan directly to the UNSOM Trust Fund. In addition, IESG also benefited from in-kind contributions and funding support from UNSOM/UNSOS.

### IESG key achievements during the period of 2014/15 – 2017:

1. Technical assistance to the drafting and finalization of the NIEC law in 2014 and 2015. IESG also advised the Parliamentary Committee on the inclusion of a minimum quota for women's representation in the NIEC law.
2. Capacity Development Support to the NIEC since its appointment in July 2015 in a wide range of areas including:
  - a. Construction of temporary office space at Villa Somalia, initial, procurement of cars, furniture, supplies, and logistical support.
  - b. Developing the Commission's understanding and knowledge of electoral processes through multiple capacity building activities, comprising trainings and workshops on electoral administration, governance and leadership, gender mainstreaming, introduction to voter registration, public outreach, human rights and elections; as well as study tours to observe first-hand the conduct of elections and electoral operations such as VR, polling operations, etc.
  - c. Support to the development of the NIEC's vision and mission statement, its initial 18-month action plan (2015-2016).
  - d. In-depth support to the NIEC's current five-year Strategic Plan (2017-2021), which serves as its roadmap towards universal suffrage elections.
  - e. Support to the NIEC's external relations strategy concerning key stakeholders and the larger public, including press conferences and statements, the development of the NIEC website, NIEC's international recognition and membership of the Association of World Election Bodies (A-WEB) and the Arab EMBs, and ongoing engagement with different Federal Member States
  - f. Development of draft regulations and procedures for electoral operations, including political party registration
  - g. Institutional capacity development of the NIEC, including logistical and administrative support to the NIEC's Secretariat and deployment of national advisors embedded in the NIEC.
  - h. Support to the compilation of the first Somali Lexicon of Electoral Terminology, which is expected to be launched in the coming weeks. The Lexicon establishes a common linguistic framework (Somali-English-Arabic) which will be a key resource for legal drafting, training of electoral staff and electoral operations and public outreach. It is intended to help create common awareness and enable the sensitization of the electorate and the public at large on the 2020 universal elections, and on the adoption of the electoral legal framework;
3. During the same period, IESG provided legal advice and technical input to the development of the electoral legal framework including:

- a. Compilation of historical electoral legislation, including the translation from old laws in Italian to Somali and subsequent publication of electoral legislations from the 1950's-1960's
  - b. Support to the establishment of a technical-level Electoral Law Working Group within the Ministry of Interior and electoral Affairs and Reconciliation (MOIFAR)
  - c. Training of MoIFAR, NIEC and Government officials on comparative electoral systems and their relevance to Somalia.
  - d. Technical assistance to the review of the Political Party Law
4. During the 2016 limited franchise electoral process: IESG followed a two-track policy, continuing to provide capacity support to NIEC towards universal elections; at the same time IESG provided intense technical, logistical and financial support to the 2016 process, in particularly support to the FIEIT, SIEITs and IEDRM to prepare for and finalize all electoral activities, and indirectly to 13,000 clan-based voting delegates in Mogadishu and the State Capitals, while continuing to underscore norms for future universal electoral processes.
  5. The "2016 electoral process" was completed without any major security incident in polling stations. This was a significant achievement. IESG's contribution was through technical advice and secretariat support to the Somalia Electoral Security Task Force (SESTF), to have all Somali security partners communicating and coordinating with each other in structured and effective way, developing and gaining buy-in to a National Plan for elections security. The lessons learned report is adamant that the SESTF (and JSCs) model be retained to plan for full elections and to assist coordinate security support for other activities, for which it will continue to need UN 'good office' advice and support.

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## STRATEGY

### *A. Introduction*

In 2015, UN electoral assistance providers started building capacity among the key stakeholders, namely the NIEC<sup>4</sup>, in preparation for future universal elections in Somalia. Subsequently, there is an urgent need to maintain this momentum and continue expanding the capacity of all key stakeholders as they prepare to organize the legislative framework and an electoral event (or events) that will provide all eligible Somalis with an opportunity to cast a ballot. These universal adult suffrage elections are expected by end of 2020, as committed by the Federal Government and envisaged by the NIEC according to its Strategic Plan. In order to achieve this ambitious goal, a complex set of institutional, legal and mandate issues need to be resolved. While both the national and international stakeholders support this timeline, there is also a common appreciation of the immense tasks and obstacles that must be cleared before a universal suffrage electoral event can be organized.

Bearing those challenges in mind, and conscious of the fact that universal elections will be of historic importance for the overall development of Somalia even if they are not held in line with this schedule, the strategy of the UN Electoral Support Programme will be to focus on the building blocks necessary to develop conducive conditions and institutions required for universal elections. Having said that, it must be clear that, as long as there is a firm commitment by the political leaders to hold elections on time, the UN Electoral Support Programme timeline will be firmly grounded by the electoral timeline of 2020. The UN Electoral Support Programme will be structured in a way to ensure flexibility and will be focused on the development of the institutions and frameworks necessary for a successful electoral process. It is expected that there will be intermittent UN Needs Assessment Missions deployed under the auspices of the UN Electoral Assistance Division in the intervening period, to also offer an assessment of progress towards universal elections. Against this backdrop, it is essential for the UN Electoral Support Programme to maintain in 2018 the current momentum. Given the fact that the capacity of the government is limited to support a full electoral process including key institutions, in particular NIEC, outside support is essential for their development. In addition, not supporting the constitutional bodies could also raise significant doubt about the entire approach to democratic governance along constitutionally mandated lines. Given that fixed long-term planning and budgeting would be premature at this time due to: the volatile security situation; the political context; the Government's financial possibilities to support electoral institutions vs commitments from the international community.

Therefore, although the UN Electoral Support Programme is designed to encompass the entire electoral cycle 2017-2021, a detailed plan with budget and activities is included in this Project Document for year 2018 only as part of the Phase I, while the activities and cost estimates budgeting for the entire period of 2018-2021 are informed by the NIEC Strategic Plan. At the end of 2018, stock will be taken to extend the joint UN electoral support programme in line with the evolving political, security and funding realities. In this regard, it should be noted that one of the strengths of the UNDP's management model is the built-in flexibility allowing for ongoing monitoring and modification of the UN Electoral Support Programme activities and budget via the UN Electoral Support Programme Board mechanism, which feeds into the PWG-1 meeting on Inclusive Politics and the Sub-Working Group on Elections<sup>5</sup>.

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<sup>4</sup> Although the NIEC did not play a major role in the 2016 process, they received capacity building support in preparation of universal elections.

<sup>5</sup> See Section VIII below for details.

## **B. Strategy - Foundations**

**The UN's support to universal elections in Somalia is:**

- (i) In line with Somalia's broader electoral legal framework**
- (ii) Informed by International Conferences on Somalia, decisions by the federal government and communiques of the country's senior leadership**
- (iii) Contributing to Somalia's National Development Plan and the strategy on Inclusive Politics**
- (iv) In accordance with the decisions of the United Nations General Assembly and the Security Council; the mandate of the United Nations Assistance Mission to Somalia (UNSOM) and the recommendation of the 2017 UN electoral Needs Assessment Mission to Somalia (NAM)**
- (v) In line with the United Nations Strategic Framework on Somalia and the UNDP Country Programme on Somalia, contributing to the UN Sustainable Development Goals (SDG)**

### **i. In line with Somalia's electoral legal framework:**

- International Agreements Somalia subscribed to:

Somalia has committed itself to a number of international and regional treaties through which it has obliged itself to follow key human rights standards, including:

- United Nations Declaration of Human Rights (UNDHR) (1948)
- International Covenant on Civil and Political Rights (ICCPR) - ratified by Somalia in 1990
- International Convention on the Elimination of Racial Discrimination (ICERD)
- African Charter on Human and Peoples' Rights (ACHPR)
- African Charter on Human and Peoples' Rights on the Rights of Women in Africa (ACHPR-PW).

UNDHR (art. 21): *(1) Everyone has the right to take part in the government of his country, directly or through freely chosen representatives. (2) Everyone is entitled to all the rights and freedoms set forth in this Declaration, without distinction of any kind, such as race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status. Furthermore, no distinction shall be made on the basis of the political, jurisdictional or international status of the country or territory to which a person belongs, whether it be independent, trust, non-self-governing or under any other limitation of sovereignty. (3) The will of the people shall be the basis of the authority of government; this will shall be expressed in periodic and genuine elections which shall be held by universal and equal suffrage and shall be held by secret vote or by equivalent free voting procedures. (19) Everyone has the right to freedom of opinion and expression. (20) Everyone has the right to peaceful assembly and association.*

ICCPR (art. 25): *Every citizen shall have the right and the opportunity ... without unreasonable restrictions: to vote and to be elected at genuine periodic elections which shall be by universal and equal suffrage and shall be held by secret ballot, guaranteeing the free expression of the will of the electors.*

- Provisional Constitution of the Federal Republic of Somalia

(Article 3) Founding Principles: 5) Women must be included, in an effective way, in all national institutions, in particular all elected and appointed positions across the three branches of government and in national independent commissions

(Article 46) The Power of the People: *"The public representation system shall be open and shall give everyone the opportunity to participate. Its procedures and rules shall be simple and understandable"*

(Article 47) Electoral System and Political Parties: *"The regulations concerning political parties, their registration, elections at the Federal Government level and the National Independent Electoral Commission shall be defined in special laws enacted by the House of the People of the Federal Parliament of Somalia"*

(Article 64) Direct election Members of the House of the People

(Article 72) Direct election of Members of the Upper House of the Federal Parliament

(Article 89) Indirect election of the President: *The Houses of the Federal Parliament shall elect the President of the Federal Republic of Somalia in a joint session, presided over by the Speaker of the House of the People of the Federal Parliament.*

(Article 111G) Establishment and Mandate of the NIEC: *The National Independent Electoral Commission shall be established under the Constitution by the Federal Parliament, independent of the Executive. The NIEC shall be inclusive and representative and be impartial and neutral and shall not have more than nine members. The mandate of the NIEC includes: a) Conduct of presidential elections; b) Conduct of Federal Parliament elections; c) Continuous registration of voters and revision of voter's roll; d) Registration of candidates for elections; e) Delimitation of constituencies and wards; f) Regulation of the political party system; g) Settlement of electoral disputes; h) Facilitation of observation, monitoring and evaluation of elections; i) Regulation of money spent by an elected candidate or party in respect of any election; j) Development of an electoral code of conduct for candidates and parties; k) Monitoring of compliance with legislation on nomination of candidates by parties; l) Voter education.*

- The Law on the Establishment of the NIEC: Article 14 of the NIEC Law outlines the Functions and Powers of the NIEC
- Once enacted: in line with the Electoral law and the (reviewed) Constitution

## ii. **Informed by International Conferences on Somalia and National Leadership Forums**

- Mogadishu Agreement between FGS and FMS (November 2017)

*"To engage and consult jointly on one-person-one vote electoral process in Somalia by creating viable environment for its realization."*

*"The National Independent Electoral Commission (NIEC) to be fully supported, solicit funding for the 2020 elections, and with efforts geared towards local resource mobilizations and thereafter seek International Community's assistance."*

- London Conference on Somalia (May 2017)

*"We welcome the commitments of the FGS to democratization, including one person one vote elections in 2021. We welcome the outline roadmap presented by the FGS, including the commitment to develop an electoral law setting out the legislative framework by the end of 2018. We welcome the ongoing technical work done to develop the options for models of representation, and encourage these to be presented to a high level political body at the earliest opportunity. We look forward to receiving an update on this work at the next High-Level Partnership Forum (HLPF)."*

- National Leadership Forum: communique (April 2017)

*"The National Leadership Forum (NLF) recognizes the need to hold universal elections in 2020 as one of the pillars of the establishment of democracy in the country. The NLF calls for the International Community to support the National Independent Electoral Commission."*

- Istanbul Ministerial High-Level Partnership Forum (February 2016)

*"We affirm that pursuing universal suffrage in 2020 is required [...] the need to overcome the existing power-sharing formula, in accordance with the strong desire of the Somali people. [...] the importance of a clear political vision and path and agree to consolidate twin-track planning in support of one-person one-vote elections supported by a capable National Independent Electoral Commission by 2020. The international community stands ready to support these processes."*

## iii. **Contributing to Somalia's National Development Plan and the priority of Inclusive Politics**

In 2016, the Federal Government of Somalia developed its National Development Plan (NDP) covering the period 2017-2019 and stipulating Somalia's short to medium term strategic direction, development priorities and proposed implementation mechanisms including the use of development aid.

The Plan has a strong focus on tackling poverty and improving security, underpinned by strong governance, particularly in the areas of inclusive and democratic institutions, political participation, promotion of a

vibrant civil society, transparent and accountable public administration, rule of law, protection of human rights and promotion of gender equality and women's empowerment.

The Government's political agenda for the next four years is guided by the National Development Plan which has three main components: A) Democratization. B) Finalizing the Constitution. C) Decentralization. In order to realize its vision and the following Strategic Objective to "Achieve a stable and peaceful federal Somalia through inclusive politics", three main electoral components are required:

- a) Enactment of Political Parties Law.
- b) Enactment of an Electoral Law.
- c) Registration of political parties.

The National Development plan identified eight strategic areas to be implemented in a way that promotes social justice and gender equality. The gender targets aligned to electoral process include; Key legislation and policy frameworks enacted and popularized and increase women's representation in political and leadership positions up to 30% by 2019.

**iv. In accordance with the decisions of the United Nations General Assembly and the Security Council; the mandate of the United Nations Assistance Mission to Somalia (UNSOM) and the recommendation of the 2017 UN electoral Needs Assessment Mission to Somalia (NAM)**

- UNSCR 2358 (2017)

*"support for the preparation of an inclusive, credible and transparent 'one person, one vote elections' in 2021, and coordination of international electoral support to Somalia"*

*"Commitments of the FGS to one person, one vote elections in 2021, and the outline roadmap including the commitment to develop an electoral law setting out the legislative framework by the end of 2018 and stresses the importance of adhering to these commitments"*

- UNSCR 2275 (2016)

*"... continued progress towards the objective of universal elections by 2020, including by ensuring that the National Independent Electoral Commission and Boundaries and Federation Committee are operational without further delay"*

- The United Nations General Assembly Resolution adopted by the General Assembly on 19 December 2011 (66/130. Women and political participation)

Guided by the Convention on the Elimination of All Forms of Discrimination against Women, which affirms human rights and fundamental freedoms and equality for women around the world, and which states, inter alia, that States parties shall take all appropriate measures to eliminate discrimination against women in the political and public life of the country.

- NAM recommendation (2017)

The UN conducted an electoral Needs Assessment Mission (NAM) to Somalia in March/April 2017 in the context of UNSOM's electoral support mandate. The NAM assessed progress and challenges pertaining to electoral preparations since the previous NAM in 2013, the political, legal, institutional, technical, human rights and security contexts in Somalia, the legal and institutional framework pertaining to universal elections in 2021; the capacity and needs of election stakeholders as well as broad options on voter registration (VR).

The NAM recommends the UN to focus on the preparations of universal elections in Somalia at the national level, in particular by enhancing the NIEC's capacity development to plan and conduct nation-wide elections.

**v. In line with the United Nations Strategic Framework on Somalia and the UNDP Country Programme on Somalia**

- UN's Sustainable Development Goals (SDG):

**Goal 16 (target 6)** *“effective, accountable and transparent institutions”, and (target 7) responsive, inclusive, participatory and representative decision-making”*

**Goal 5:** *“women’s participation and opportunities of decision-making in political and public life”*

It also is in line with the UN’s Strategic Framework on Somalia and the UNDP Country Programme Document for Somalia.

- UNDP Country Programme Document

**Outcome 1:** *“Somali political processes are broadly inclusive and benefit Somali men and women”*

**Output 3:** *“Somali institutions are enabled to run independent, transparent and inclusive elections”*

Contributing to:

**Output 4:** *“Somali women’s representation and participation in politics and public-sector institutions enhanced”*



### C. Theory of Change - Key Principles

Building on the past support, the new UN Electoral Support Programme aims to support the key stakeholders in developing institutional, administrative and staff capacities, improving operations, and establishing sustainable organizational frameworks that will facilitate universal elections. As the first step in this direction, current UN Electoral Support Programme already supported the NIEC in drafting the five-year Strategic Plan 2017-2021, with key components incorporated into this UN Electoral Support Programme Document.

By providing technical assistance for capacity development and overall support to accommodate operating costs, UN Electoral Support Programme aims to assist the NIEC to develop its ability to plan, prepare, organize and conduct the upcoming elections. In doing so, the UN Electoral Support Programme will be guided by several key principles:

#### **Guiding Principles of the UN electoral support to the Federal Republic of Somalia:**

- |    |  |
|----|--|
| 1. | In support of a <b>Somali-led and Somali-managed electoral process</b> , with key focus on “ <b>support for the preparation of an inclusive, credible and transparent universal national (Parliamentary) elections</b> , and constitutional referendum if agreed upon. |
| 2. | Building on past UN electoral technical support provided to Somalia, enhancing the <b>electoral cycle</b> approach and institutional capacity development of the NIEC, and promoting sustainability to the extent possible   |
| 3. | <b>Aligned with NIEC Strategic Plan</b> ; contributing to Somalia’s National Development Plan and the pillar of “inclusive politics”.  |
| 4. | Supporting the Federal Government of Somalia and the international community in the consideration of a balanced approach between long-term objectives as well as short-term electoral imperatives of voter registration for universal elections.                       |
| 5. | Enhancing <b>gender mainstreaming</b> in electoral processes and inclusion of <b>Human Rights principles</b>   |
| 6. | UN electoral support will be <b>integrated and focused – international coordination</b>  |
| 7. | Phased support: <b>Stage 1: 2017 – 2018</b> (stock-taking in second half of 2018) - Stage 2: 2019 - 2021   |

#### **1. In support of a Somali-led electoral process, focus on support to the NIEC for the preparations of universal national (Parliamentary) elections, and constitutional referendum if agreed upon.**

In line with UNSOM’s mandate, the NIEC’s strategic plan, and in accordance with the wish expressed by the Commission and other stakeholders, UN electoral support focuses on support to the NIEC for Somali-led and Somali-managed preparations of universal elections at the national level, and that of a constitutional referendum, the conduct of which is still to be determined.

The Provisional Constitution foresees direct Parliamentary elections for the House of the People and the Upper House<sup>6</sup>, and an indirect election of the Federal President. Once the constitutional review process is completed, UN electoral support also assists the NIEC with the conduct of a constitutional referendum, as provided for in the provisional constitution and part of the NIEC’s mandate, should be preserved as much as possible.

Focusing on the new electoral cycle of the period 2017 to 2021, UN electoral support builds on the existing technical support and primarily focuses on the following areas: a) sustained technical institutional capacity-building of the NIEC at national and sub-national level in various aspects of electoral administration and operations; b) support to the NIEC in planning and implementing electoral operations, such as assessment, identification of polling centres, voter registration, polling and counting, election result transmission and adjudication of disputes; c) support for the registration of political parties; d) physical establishment of the

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<sup>6</sup> The issue of whether the Upper House will be indirectly elected will need to be an issue for consideration during the constitutional review.

Commission at national and state-level; e) technical support to MoIFAR and Parliament for the development of the electoral legal framework and related legislation; f) management of an election-related multi-partner trust fund and coordination of international technical electoral support; g) coordination of international electoral support; and h) technical advice and support for security planning and coordination.

## **2. Building on past UN electoral technical support provided to Somalia, enhancing the capacity development of the NIEC in a multi-cycle horizon**

Electoral assistance includes ongoing capacity development support to the country's electoral management body across different electoral cycles, and should not be approached as support to a stand-alone election "event". Electoral operations are widely acknowledged as fundamental to the credibility of elections. However, operations are only one component of a sound electoral cycle. Preparations (which draw much less public attention) are often neglected and this can have a negative impact on the entire electoral cycle. To this end, it is important to include a firm foundation of preparatory work, including assessment, capacity development and physical and institutional infrastructure and any necessary reforms, as an integral part of an electoral cycle. Especially in the context of Somalia with its nascent government structures, it is essential that there is priority focus on capacity development of the National Independent Electoral Commission. While the goal is clearly to enable holding of credible electoral process by 2021, it is important to note that the capacity building delivered to the Somali stakeholders will be of use beyond 2021 elections.

In the case of Somali elections, a multi-cycle horizon is essential to steadily establish democratic electoral practices and to expand the credibility of electoral process. Prioritisation must be given to establishing processes and systems which will be sustainable and consistent as Somalia moves through electoral cycles, rather than require constant patching in response to immanent political imperatives. While there is a political commitment to hold the polls in 2021, numerous external and internal challenges remain in all stages of the cycle and must be resolved in a coordinated and deliberate manner. The focus of UN electoral assistance envisages long-term technical capacity development across different electoral cycles to make the NIEC a capable, credible and sustainable electoral management body.

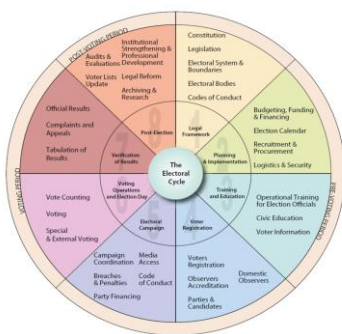


Figure 1: Electoral Cycle

Sustainability refers not only to financial independence but also to technical and operational capacity to function without assistance in the longer-run. UNSOM and UNDP operate on the premise that real development should be sustainable, meaning that support should foster eventual independence of donor support. In Somalia, given the fact that the government revenue is extremely limited, donor support is still essential; however, the UN Electoral Support Programme is designed with the intention to ensure that the staffing and operational plans are realistic and in the long-run, sustainable. In line with the NAM, all UN assistance to electoral operations in Somalia will be provided via the NIEC.

## **3. Aligned with NIEC Strategic Plan; contributing to Somalia's National Development Plan, Pillar I of "inclusive politics"**

The UN electoral assistance to Somalia is aligned with the NIEC Strategic Plan, with key objectives are to a) provide for an enabling legal framework to conduct elections, b) establish adequate institutional capacity for programme implementation, c) to build an informed electorate aware of their rights and obligations, d) facilitate participation through voter registration, e) regulate political parties, and f) deliver peaceful and credible elections by 2020 that reflect the will of the Somali people, g) to evaluate the conduct and delivery of elections.

#### **4. Supporting the Federal Government of Somalia and the international community in the consideration of a balanced approach between long-term objectives as well as short-term electoral imperatives of voter registration for universal elections.**

The overall population of Somalia is young with little to no experience in electoral processes. There is neither a credible source of data on the actual number of eligible voters, nor a citizenship law to establish eligibility criteria. Given clan demographics in the country, population data is a highly sensitive issue as evidenced by the resistance to the UNFPA data released in 2014 of a population estimation survey it undertook in consultation with the FGS.

As echoed by all interlocutors, the need for a credible and accurate voter register is essential to the holding of universal elections. The NIEC, mandated to maintain a register of voters, is planning to review options for voter registration, including the possibility of linking it to civil registry/national identification.

To avoid another backlash by pre-supposing a voter registration model for Somalia, preliminary activities are envisaged to inform decisions. Undertaking a feasibility voter registration study lays the foundation to generate permutations of VR options suitable for Somalia. Other critical activities to this end include: a) establishing linkages with population registration agencies of the FGS, FMS and other key stakeholders to identify potential voters, b) establishing an integrated VR operational framework and c) conducting periodic maintenance of the voter register in an effort to ensure accuracy of records.

#### **5. Enhancing gender mainstreaming and inclusion of Human Rights principles in electoral processes**

Technical advice of the UN electoral support programme to its Somali counterparts includes gender mainstreaming and human rights components based on international best practices and applicable to the Somali context; in particular during the drafting of the electoral legal framework.

The UN electoral programme works closely with the UNSOM Gender Unit, UNDP's Gender Equality and Women Empowerment (UNDP GEWE) project, and civil society organizations including women's groups to enhance participation of women in electoral processes as potential voters and participants in electoral processes.

Targeted activities in support of the NIEC include building capacity of women personnel in electoral administration and field work. UN Electoral Support Programme to develop joint projects to promote participation of women in electoral processes – including as potential voters, candidates and election officials, and as overall participants in electoral processes.

#### **Access of women and underrepresented groups to the electoral process**

Notwithstanding some progress in the policy arena and recent gains in women's representation in Parliament, the women, peace and security agenda has seen limited progress from normative frameworks to implementation. The participation and role of women and youth in leadership and decision-making, including the clan-based political structure, is very limited, perpetuating gender inequalities and contributing to the disenfranchisement of young Somalis.

While the National Leadership Forum committed in 2016 to a number of measures to enhance women's participation in the 2016 process, the achievements were mainly the result of intense advocacy efforts undertaken by representatives of women's groups, the FGS-appointed Committee of Goodwill Ambassadors together with the international community. There are currently no legally binding provisions or accountability mechanisms in place to guarantee women's proportional representation.

Moving towards universal elections, the constitutional review process will be an important opportunity to institutionalise the minimum 30 per cent quota, which should also guide provisions on gender parity in other key legislation pertaining to elections. An overarching goal of the joint UN Electoral Support

Programme is support a systemic approach to gender in elections. The UN Electoral Support Programme's **gender mainstreaming strategy** promotes:

- Proactive UN Electoral Support Programme leadership reaffirming UN's commitment to gender mainstreaming
- The establishment of accountability and incentives for gender mainstreaming within the work of the NIEC, and through the implementation and monitoring of the NIEC strategic plan
- Inclusion of specific gender-focused result in addition to gender mainstreaming across the different result areas
- Inclusion of gender indicators across the different program interventions
- Strengthen UN's advocacy and partnerships to promote gender equality, coordinating within UNSOM and UNDP Gender units as well as with UN Women, UNIFEM, UNFPA and other relevant UN agencies engaged in Somalia
- Build gender mainstreaming capacities of NIEC and MOIFAR personnel as well as that of other key electoral stakeholders
- Advocating for and supporting gender sensitive budgeting and allocation of sufficient budget for gender activities

### Human Rights

A number of likely politically motivated assassinations as well as several violent electoral incidents involving individuals were documented throughout and in the aftermath of the 2016 electoral process. This included a sustained and ongoing campaign of killings against electoral delegates who participated in the 2016 process. Illegal and arbitrary detention, intimidation of candidates and attacks against media continued to limit the democratic space, while Somali security forces arbitrarily arrested several people, presumably to prevent them from conducting or participating in political activities, such as campaigning or related activities.

In part due to the limited capacity of the FGS and FMS to provide protection and weak formal justice systems, exacerbated by military operations and existence of non-state armed groups, people in Somalia are vulnerable to violations of human rights and international humanitarian law. A limited legal framework, nascent rule of law and human rights protection systems, and a lack of legitimate institutions contribute to a high level of impunity.

The most vulnerable remain internal displaced groups, women and girls, and members of minority clans and other historically marginalised groups. For universal elections, it would be critical to set up an electoral system of representation that is inclusive of historically marginalized and minority groups, women and people with disabilities, etc. Reforms within Government and political organizations should ensure inclusiveness and effective participation; while a protective framework, including accountability mechanisms and the establishment of appropriate security arrangements, should be developed.

A human-rights based approach to elections is required to complement the political and technical approaches. Human rights relating to the electoral process come from the well-known principle that the will of the people shall be the basis of the authority of government. At their narrowest those rights focus on the right to participate in public and political affairs, including the right to vote in periodic and genuine elections, the right to seek election and the right to equal opportunities to occupy public positions. This right is set out in Article 25 of the International Covenant on Civil and Political Rights (ICCPR). Human rights issues related to civil and political rights can arise at every point in the electoral cycle. Relevant human rights include not only the right to participate in public and political life, but rights directly associated with elections, including rights to freedom of peaceful assembly, association, opinion, movement and expression and freedom from discrimination; and also relevant rights that can be infringed as a result of misconduct during the electoral cycle, such as security of the person, freedom from arbitrary detention and due process in courts and tribunals. Recognizing this, the joint UN Electoral Support Programme will promote the mainstreaming of **human rights** through:

- Education and awareness raising within NIEC, MOIFAR and other partners, and the UN, on the links between human rights and elections;

- Developing key messages and advocacy tools on the linkages between elections and human rights
- Facilitating relations and partnership between NIEC, the Ministry of Women and Human Rights Development, and the National Human Rights Commission;
- Strengthening the legal framework and electoral dispute resolution mechanisms;
- Advocating for NIEC staffing structures, roles and accountabilities and the distribution of staff and other resources in a fair and equitable manner and in accordance with human rights principles;
- Advisory support to NIEC and MOIFAR on laws, policies and practices to implement international human rights standards pertinent to elections.

## **6. UN electoral support is integrated, will be focused, and includes a key role in coordinating international electoral support to Somalia**

### *Focused support*

The UN's electoral support focuses on delivery of the core activities in preparation of universal elections; in particular to the development of the electoral legal framework; the capacity development, (sub-)national stakeholder engagements, and outreach of the NIEC; and in support of the preparations for electoral operations, such as VR.

Limitations: The areas of support that fall outside of the UN electoral mandate include capacity building and other forms of support to political parties, media organizations, and the judiciary/police, as well as election observation which should be undertaken by other international and non-governmental organizations. While observers, political parties and the media play an essential role in elections, UN electoral assistance to Somalia does not envisage direct activities in support of these elements, but rather encourages other organizations to do so. Notwithstanding the above, certain planned activities will indirectly benefit political parties, media and observers in terms of creating legal and regulatory frameworks for their operations during elections, such as for example, provisions for political party registration, and support in establishing media regulatory framework, and election observation framework through which observers can receive accreditation. However, any activities in this regard should be closely coordinated under the overall coordination mechanism led by the UN. Furthermore, the UN mandate does not provide direct electoral support to FMS electoral management bodies (EMBs), including for elections at state, district or local level unless in coordination with and directed through the NIEC. Potential support by non-UN entities to those EMBs is recommended to be approved by the FGS beforehand and coordinated with the NIEC, to ensure that such support contributes to strengthening the federal UN Electoral Support Programme.

### *Coordinated support*

UNSCR 2358 (2017) calls for the UN to take the lead in coordination of international electoral support to Somalia. Technical and financial support from the international community should be a collective and well-coordinated effort. Although the UN will be one of the main providers of support, it will not be the only one. Therefore, synchronization of efforts will be essential, as will be the role of coordination which is part of UN's mandate. Under the auspices of the SRSRG and supported by the IESG, UN will spearhead the coordination mechanism and efforts; e.g. by periodically holding regular meetings of donors at the highest (ambassadorial) level, more frequent technical-level meetings (monthly to quarterly), and by establishing and maintaining the Matrix of Electoral Assistance and all assistance efforts and potential gaps. In addition, the Somali-led Somali Electoral Security Task Force (SESTF) and Joint Security Committees (JSCs) are expected to be retained and strengthened in order to coordinate all security aspects of elections.

### *Integrated UN electoral support*

In line with UNSOM's mandate, the NIEC's strategic plan, and in accordance with the wish expressed by the Commission and other stakeholders, UN electoral support continues to be provided through the Integrated Electoral Support Group (IESG) as an integrated structure, comprising electoral advisers and experts from UNSOM and UNDP. IESG has been recognized as a successful example of UN integrated electoral support.

IESG has been proven to be an effective integrated structure comprising a mix of UNSOM and UNDP staff members based in Mogadishu. As it was in its preceding shape between 2014/5 to 2017, the UN's Integrated Electoral Support Group (IESG) will maintain the internal strategy of an effective integrated structure comprising of a combination of UNSOM and UNDP international electoral advisers, national professional assistants, administrative assistants and international UNVs. In order to ensure that the implementation of UNSOM's electoral mandate is guided by both the mission's political strategy and the overall UN state-building mandate in Somalia, the IESG Director reports directly to the SRSG, while both the DSRSG/RC and the UNDP Country Director are to be an integral part of the decision-making process pertaining to the implementation of UNSOM's electoral mandate. The above reporting modality also ensures that the SRSG's good offices are informed by IESG's advice, and that electoral matters be constantly given priority attention alongside other priority mandates. IESG receives direct support from UNSOM's core resources, managed by UNSOS. In addition, donor funding of IESG for support to the NIEC and the electoral legal framework is channelled through the UN Multi-Partner Trust Fund (MPTF), managed by UNDP.

The UN Security Council mandate provides several areas for UNSOM/UNSOS support for universal electoral processes to the national stakeholder. These areas include: SRSG's good offices; security arrangements and coordination with other security agencies, establishment of field offices and provision of logistical and technical advice to national counterpart, before, during and post-election.

Establishment of sub-national field offices is essential coupled with adequate well-trained staff for the implementation of the electoral operations plan. UNSOS support will be required for the identification of secure warehouses, reception and storage of office equipment and election material deployment and distribution of electoral material.

## **7. Phased Approach:**

Stage 1: 2018 (stock-taking in second half of 2018)

Stage 2: 2019 - 2021

While a multiple-year horizon is envisaged to assist the Federal Republic of Somalia with the preparation of the first universal elections since 1969, the direct scope of the "Joint Programme for Support to Preparations for Universal Elections" focuses on the crucial electoral preparatory steps to be taken in 2018, in particular the development of the Electoral Law, the institutional capacity development of the National Independent Electoral Commission (NIEC), and support to pre-election operations such as preparations for voter registration, political party registration, polling centre assessment, (sub-) national stakeholder engagement and outreach, as well as the development of electoral procedures and regulations. The Somali Government committed at the London Conference (May 2017) to have the Electoral Law developed by the end of 2018. Also in 2018, the NIEC needs to have made an informed decision, agreed by all relevant key stakeholders, of its voter registration methodology, to allow commencement in 2019. In this respect, by that time, partners will take stock to measure progress and review the Joint Programme for the next phase in preparation of universal elections.

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### **III. RESULTS AND PARTNERSHIPS**

#### **A. Expected Results**

##### **1. Key areas of support**

The UN Electoral Support Programme builds on the activities initiated under the previous Joint Programme for Support to the Electoral Process in the Federal Republic of Somalia (2015-2017) and continues to develop the country's electoral management capacity and ongoing state building efforts. Although the UN Electoral Support Programme aims to support the entire electoral cycle culminating in the elections 2020, the immediate priority is to consolidate the gains in capacity building achieved so far and launch key activities within the first year of the UN Electoral Support Programme, which will have a long-term impact on electoral operations.

While a multi-year horizon is envisaged, the UN Electoral Support Programme's central objectives for the first phase of late 2017 and 2018 are to:

The central objectives in 2018 of the UN Joint Programme for Electoral Support, implemented through IESG, comprise:

- (i) Support the Federal Government of Somalia to develop within the timeline the electoral legal framework required to hold universal elections**
- (ii) Build the long-term capacity of the National Independent Election Commission (NIEC) in order for it to deliver elections in Somalia fully in line with Somalia's national legislation and international electoral commitments**
- (iii) Support the NIEC with electoral operations in preparation and conduct of the country's first post-conflict universal elections in 2021, including preparations for voter registration**
- (iv) Enhance the public's understanding of electoral processes**

- NIEC administrative framework: A nation-wide election administration capacity must be established. There is also a need to establish the necessary administrative frameworks, regulations and policies for the internal functioning of the NIEC at central level, in addition to the development of a national election administration capacity throughout the country. The rationalization of the Commission's organizational structure also requires undertaking to reflect the core functions. In line with this, there is a need to fully establish the Secretariat. The requisite policies, systems and guidelines necessary for effective operations of the Commission also need to be established. Lastly, the establishment of a performance management system is necessary in order to enhance the performance of the staff. NIEC is also charged with political party registration and regulation, and has thus established a registrar's office which will require further capacity development. The NIEC is also required to establish an election dispute resolution department, which will be assisted.

- NIEC Engagement with national and subnational stakeholders: although the mandate of the current UN Electoral Support Programme does not include direct support to the state-level EMBs, recent increase in communication between the FMS and NIEC are welcomed and will be further encouraged during the first and subsequent years of the UN Electoral Support Programme.

- Electoral legal framework: The existing framework needs strengthening to address the ambiguities and differences between the NIEC Law and the Provisional Constitution of the Federal Republic of Somalia. Although a Constitutional mandate has been established, enabling the NIEC to legitimately exist and operate, there is still a need to provide a robust legal framework for its activities. The ongoing constitutional reform process will first and foremost need to establish the essence of federalism in Somalia.

- Constitutional issues that need to be harmonized within the context of the electoral legal framework include: an electoral system ‘system of representation’ consistent with final federal arrangements; the role of federal versus state institutions including the election administration structures led by NIEC; seat allocation issues for Benadir and Somaliland; whether the provisional constitution will be adjusted to permit indirect election of Upper House; and will Constitutional Court be established in time to serve as final arbiter to adjudicate electoral disputes?
- A fundamental Electoral Law issue to be determined is the electoral system (e.g. majority, proportional, or mixed system); that will define the future system of representation in Somalia. Other key decisions include: constituencies (e.g. one national constituency or constituencies based on states, regions or districts); decisions on distribution of seats (seat allocation) to both houses of parliament by constituency. The drafting process must be well defined in terms of stages, timeframe and participants, in order that it is developed in an inclusive, transparent and accountable manner.
- The Citizenship Law is central to determining the criteria for the right to vote and to stand for office. A review of the citizenship law would clarify criteria for voters or candidates beyond simply ethnicity.
- The Political Party Law: Passed in 2016 needs to be amended for consistency, clarification, and in order to make it operable.
- Political Party Registration and regulation: A political party law has been passed which allows for the NIEC to begin registering parties. The law seeks to establish parties with a national outlook, and foster political organization on the basis of policy issues. The system of representation that is chosen in the electoral law could ultimately either foster political party development (proportional), or de-emphasize it (majoritarian), and thus electoral legislation will have implications for the political party legislation. The final electoral law will have significant implications for the political parties. For example, a closed list proportional representation system can more easily reconcile a women’s quota. Any financial malfeasance would likely be transferred to party structures, necessitating a focus on political party and campaign finance regulation.
- Voter registration (VR) which is the bedrock of the electoral processes proposed under this strategic plan. VR will be the first major and nation-wide electoral operational activity to be undertaken by NIEC. In this area the Commission has set for itself the strategic objective to register all eligible voters, although the exact modality (manual paper-based vs biometric) of how this will be achieved is yet to be determined. Decisions will need to include level of technology, data to be collected, etc. Challenges include: security, state/federal mandates, funding limitations etc. Regardless of the ultimate VR choice, it will be essential to establish linkages with other key stakeholders such as the Federal Government of Somalia, Federal Member States, political parties, clan associations and development partners.
- The process of conducting elections, including possible by-elections if requested for, will call for elaborate logistical arrangements on the ground including mapping and managing polling stations, providing quality polling materials and equipment on time, recruiting, training and deploying poll staff on time. The process of balloting, counting, verification and transmission of results also requires to be made smooth and efficient. The management of complaints and disputes will also be essential, as will be the mechanisms for redress within the NIEC.
- NIEC Budget: The Provisional Constitution provides for the independence of the NIEC. This calls for the Federal Government of Somalia to allocate adequate and predictable funding in order for NIEC to undertake its mandate in a fully independent manner. While it is not realistic to expect the FGS to provide significant funding for NIEC in the short term, given the budgetary shortcomings, it is imperative to at the very least create mechanisms for establishing the NIEC Fund. In all of this, the UN Electoral Support



Programme will also coordinate closely with other electoral assistance providers to avoid any potential overlap and maximise opportunities for synergy.

- Voter education: The need to provide civic and voter education has been identified as an immediate area of investment by NIEC under this strategic plan. Equally important is the need to establish mechanisms for effective communication with all stakeholders, including the broader society. The development of a comprehensive and robust curriculum that is expected to spearhead this initiative is, therefore, a priority activity. Also important is the need to identify and co-ordinate the activities of the various providers expected to play a role in the provision of civic and voter education. This aspect becomes more important considering that the youth, who comprise a substantial proportion of the total population in Somalia, do not have a thorough understanding and experience of democratic electoral processes. It is essential that such outreach through voter education is closely coordinated with NIEC, to ensure that accurate information in line with the law and NIEC regulations is being disseminated.
- Electoral Security: A conducive environment must be established for elections. Building on the 2016 Joint Security Model, the National Security Architecture (NSA) must develop systems of national coordination and control. It must also produce realistic assessments of threats and mitigations. This will help to remove perceptions of bias in future decisions about whether it is safe to conduct an electoral process (or not) within an area. As an election will involve securing up to 3,000 locations in Somalia at one time, it also presents a unique opportunity for the development of the NSA as the electoral requirements for coordination are absolute and will be a powerful motivator for achieving this.

Stock will be taken by the end of 2018 on the progress and different milestones such as the development of the electoral law and the decision on an agreed and accepted voter registration approach. Depending on the technical progress made as well as the political context, and informed by a new UN Needs Assessment Mission in 2018, the scope of the UN Electoral Support Programme will be expanded in light of the scheduled electoral operations, including the parameters of a voter registration exercise in 2019.

## **2. 2017-2021 electoral timeline and envisaged milestones**

While the Project Document focuses on the immediate support and milestones in 2018, a multi-year process is envisaged culminating in the conduct of universal elections. Informed by the NIEC Strategic Plan, the following table provides an overview of the electoral timeline and envisaged milestones for universal elections in 2020.

(see table on next page)

Key Milestones – Time table		2017	2018	Informed by NIEC Strategic Plan		
				2019	2020	2021
Electoral Roadmap agreed		FGS commitment to universal elections - HLPF update	stock-taking on political progress re universal elections	<i>stock-taking on political progress for universal elections / Constit. review</i>	<i>Political status re universal elections / Constit. review</i>	<i>Political status re universal elections / Constit. review</i>
Electoral Framework (incl. Electoral Law)	Legal	Discussion on electoral systems initiated	Electoral Law developed, consensus on electoral systems	<i>input/revision wider electoral legal framework</i>	<i>finalized wider electoral legal framework</i>	<i>finalized electoral legal framework</i>
NIEC capacity development, including deployment to the FMS/regions		ongoing	Ongoing, incl. deployment FMS	<i>Ongoing, incl. deployment FMS</i>	<i>ongoing</i>	<i>Ongoing</i>
Political registration	Party	Temporary registration of pol. parties commenced	Temporary registration of pol. Parties continued	<i>Ongoing registration of pol. parties</i>	<i>Official registration commences – based on VR progress</i>	<i>official registration of pol. Parties</i>
Polling Centre (PC) assessment and allocation		GIS mapping of potential polling catchment areas	Physical verification of polling allocations	<i>Polling Centre allocation</i>	<i>PC endorsed list</i>	<i>PC list evaluated</i>
Voter Registration		VR feasibility study	agreement on VR method. + VR Ops Plan	<i>VR Ops commenced</i>	<i>VR Operations</i>	<i>VR Operations</i>
Outreach and stakeholder engagement, incl. national + subnational		NIEC engagement with national and subn. actors	NIEC engagement with national and subn. actors	<i>Stakeholder engagement + public outreach VR</i>	<i>ongoing Stakeholder engagement + public outreach</i>	<i>ongoing Stakeholder engagement + public outreach</i>
Commencement of Election Operations and conduct of Universal Elections		-	Initial electoral field operations - preparations	<i>Electoral Ops plan being developed</i>	<i>Electoral Ops plan agreed – conduct of elections</i>	<i>Conduct of elections</i>
Security Coordination / PC threat mapping		Preliminary security threat assessment	Preliminary threat assessment	<i>PC threat mapping</i>	<i>Final PC security assessment</i>	<i>Final PC security assessment</i>
Results Management		-	NIEC to develop concept results management system	<i>NIEC to develop results management system</i>	<i>Results management system implemented</i>	<i>Results management system assessed</i>
Adjudication and dispute resolution		-	<i>NIEC to develop EDRM and regulations</i>	<i>NIEC to develop EDRM and regulations</i>	<i>EDRM implemented</i>	<i>EDRM implemented / assessed</i>

### 3. Outputs - 2018

Primarily following the NIEC's Strategic Plan, the central interventions in 2018 of the UN Joint Programme for Electoral Support are being translated in the following outputs:

**Output 1: NIEC equipped with necessary capacities and structures to prepare for and conduct credible and inclusive elections**

**Output 2: NIEC supported to enhance public awareness of electoral processes, including promotion of women's participation**

**Output 3: Support to the NIEC's electoral operations, including preparations for voter registration**

**Output 4: Establishment of permanent NIEC office facilities**

**Output 5: Development of an enabling electoral legal framework supported**

**Output 6: UN Programme Management**

UN's support to the institutional capacity development of the NIEC electoral processes will be in coordination with other electoral assistance providers who also support the NIEC.

#### ***Output 1: NIEC equipped with necessary capacities and structures to prepare for and conduct credible and inclusive elections***

As a new body, supporting the NIEC to gain the trust and credibility of the citizenry will be crucial to the future of Somalia and to the international community's commitment to peacebuilding and state building. Given the multifaceted challenges Somalia faces in its post-conflict phase, design and implementation strategy of the UN Electoral Support Programme needs to allow the required flexibility to adjust activities in response to developments over time. With the aim of supporting electoral reform over the medium and long term, the UN Electoral Support Programme will engage with the various actors involved in the electoral process building synergies and strengthening the institution mandated to facilitate the peaceful transition of power in post-conflict Somalia.

To support the full establishment of the NIEC and the implementation of its strategic plan, output 1 focuses on building institutional, operational and human resource capacities of the NIEC. Through various capacity building approaches including professional staff development, the development of information management systems and financial and administrative processes, and through the establishment of its institutional systems, the UN Electoral Support Programme will enable the NIEC to operate as a strong, professional organization with the necessary capacities to undertake its role and responsibilities in an effective and credible manner. Support will also encompass advocacy and lobbying efforts to ensure NIEC remains a priority within the government budget and in relation to federal member states. Of importance is enhancing gender mainstreaming both within the institution as well as in all regulatory steps to promote women's participation in electoral processes. In this respect, the Programme will work very closely with initiatives and activities undertaken by the UNSOM Gender Unit and UNDP Gender Equality and Women Empowerment team, as well as other UN entities. The UN's support to the institutional capacity development of the NIEC will be in coordination with other electoral assistance providers who also work together with the NIEC. Support under this output also focuses on the NIEC's capacity to provide input to the drafting process and to the review of proposed legislation as well as to the development of necessary rules of procedure in preparing for and conducting elections based on the agreed legal framework, including regulations for the registration of political parties.

As a post-conflict country, an effective EDR mechanism is particularly crucial for Somalia to ensure the citizenry have trust and confidence in the process, and stakeholders know that any compliant ledged will go through a transparent and credible review and adjudication process. This output includes also a component to advise and support NIEC in establishing an electoral dispute management framework as a

second appeal mechanism. Support to the development of the wider legal framework for elections, e.g. the Electoral Law, which is beyond the NIEC's direct responsibility, falls under Output 5, e.g. with MOIFAR and the Parliament on the Electoral Law.

Aligned with the NIEC's Strategic Objectives, the UN Electoral Support Programme will undertake the following specific activities to develop the NIEC as a professional, credible and transparent electoral management body:

**Activity 1.1: Strengthen NIEC's capacity to anticipate, adapt and structure its own processes, regulations and procedures to the subordinate regulatory electoral framework**

- Advise and support NIEC to provide coherent and comprehensive input and advocacy to the legislative framework;
- Advise and support NIEC in reviewing and regulating existing electoral laws, participate in coordination mechanism with the Federal Parliament where applicable;
- Advise and support NIEC to establish regulations, Codes of Conduct, and internal procedures; including on political party registration, voter registration, and polling and counting
- Advise and support NIEC in Establishing an electoral dispute management framework as a second appeal mechanism
- Advise and Support NIEC in developing and incorporating regulations and procedures that enhance gender mainstreaming

**Activity 1.2 (a): Strengthening of NIEC's capacity in areas of technical electoral knowledge and expertise**

Capacity development regarding electoral cycle planning, electoral ops planning, VR methodologies, gender mainstreaming, electoral logistics, information technology, electoral security, etc.

- Support the NIEC development of electoral-technical skills and knowledge through on-the-job training, workshops, (cascade) trainings, seminars, conferences, study visits and trainings, including the internationally accredited programme of Building Resources in Democracy, Governance and Electoral (BRIDGE) administration.
- Facilitate peer-to-peer learning with other EMBs and various election practitioners to strengthen electoral knowledge-base of the NIEC
- Support the development of the NIEC's Elections Operations Plan
- Support implementation, monitoring and review of NIEC Strategic Plan
- Support NIEC development and implementation of NIEC external relations strategy
- Provide advice and support to the NIEC to incorporate gender mainstreaming elements and integrate gender responsive programmes in planning and processes
- Support NIEC to advocate and raise awareness on the linkages between human rights and elections, and its implication on the implementation of the strategic plan
- Facilitate and support the utilization of technology in electoral administration in a sustainable manner
- Support the development of an ICT strategy and implementation of an ICT capacity action to deliver on the statutory mandate of the NIEC
- Support to NIEC assets management system, archiving system

**Activity 1.2 (b): Strengthening of NIEC's capacity in areas of organizational and operational management**

Capacity development to organizational management processes and operational planning, budgeting, development of internal rules and processes, communications, monitoring, etc.

- Provide technical assistance and advice related to developing institutional systems and processes of organizational, operational and administrative management
- Support development of NIEC' administrative procedures for administration and electoral operations
- Support the development of standard operating procedures, guidelines and manuals

- Strengthen the internal procurement and finance mechanisms in line with Somalia's public finance and procurement laws as well as the implementation modality with UNDP (Letters of Agreement (LOA))
- Support NIEC to advocate and lobby for sufficient government budgetary allocation for electoral processes
- Support NIEC staff enhancing its administrative skills needs to deliver on the strategic plan
- Liaise with Heads of Departments to identify areas for review to increase required capacity (based on performance development plans)

#### Activity 1.3: Support to the organizational infrastructure and operationalization of the NIEC

- Office equipment and supplies for the NIEC, support to premises management
- Support to set up of sub-national offices
- Identify and support appropriate hardware, software and network technology to support electoral and administrative business processes.

#### Activity 1.4: Support to the NIEC's organizational capacity through embedded national advisers embedded within the institution

- Build the capacity of the NIEC Secretariat through the provision of a limited number of specified national advisors embedded within the NIEC

#### Activity 1.5: Development of the institutional capacity of the NIEC through the provision of UN technical expertise and advisory support

- IESG/UNDP capacity development advisory costs (staffing and consultancies)

### ***Output 2: NIEC supported to enhance public awareness of electoral processes, including promotion of women's participation***

With a substantial proportion of the population having no first-hand knowledge of democratic electoral processes, the need to inform the public of their rights and obligations, as well as electoral laws, rules and procedures is critical to sustaining peace and moving state formation forward. Civic and voter education enhances public awareness of the democratic process, builds confidence in the transparency and accountability of the electoral process, and promotes opportunities for inclusive participation. An important responsibility for an electoral management body, particularly a newly established one, is to optimize public participation in the electoral process and safeguard the democratic process. Recognizing this, the NIEC has identified voter education as top priority in its five-year Strategic Plan (2017-2021).

Towards this result, the UN Electoral Support Programme will support the work of the NIEC in building staff capacity on the importance of civic and voter education, developing and disseminating educational campaigns and material on the rights and responsibilities of voters and other electoral stakeholders, and facilitating coordination between the NIEC and the entities (public or otherwise) that are expected to conduct civic education to ensure consistency. Civil society organizations represent one of the most effective means to reach out to the electorate, and to the public at large; the UN Electoral Support Programme will support their partnership with the NIEC in raising public awareness on the electoral process and on the role of the Commission, and also in mobilizing the electorate, and promoting inclusive participation. Specific focus is given on supporting the NIEC to develop public outreach activities and stakeholder engagements that aim to promote women's participation in electoral processes. This output also focuses on facilitating the NIEC stakeholder engagements with sub-regional actors including any state level electoral bodies. Through the below activities, the UN Electoral Support Programme will support enhanced public knowledge and awareness of the electoral process and the NIEC as an independent electoral management body:

### Activity 2.1: Support NIEC's outreach to and engagement with national and sub-national stakeholders

- Facilitate and support NIEC engagement with national and sub-national stakeholders, including consultations and meetings with the Federal Member States
- Facilitate and support the establishment of mechanisms for NIEC's engagement and coordination with Federal Member States and sub-national electoral entities/partners, including through consultations and meetings with key electoral actors at central and state level
- Facilitate the inclusion and participation by civil society and political parties in the work of the NIEC

### Activity 2.2: Support the development and dissemination of public knowledge and awareness campaigns and materials: with regards to general Civic and Voter Education, as well specifically for political party registration, voter registration and the conduct of electoral operations

- Support the development and implementation of NIEC' civic and voter education curriculum
- Facilitate public outreach, including through social media platforms, on information and knowledge on the democratic and electoral processes
- Support NIEC' coordination of stakeholders engaged in civic and voter education
- Facilitate NIEC engagement and liaison with civil society and relevant stakeholders promoting knowledge of democratic electoral processes
- Support the development and implementation of M&E systems for voter education programs
- Support development of key messages and advocacy tools on the linkages between elections and human rights
- Facilitating cooperation and partnership between NIEC and the NHRI to promote political rights in elections

### Activity 2.3: Support the NIEC to promote participation of women as well as marginalized communities in electoral processes

- Support and advise the NIEC to advocate and lobby for specific provisions and regulations that ensure full participation and adequate representation in public institutions of underrepresented groups, IDPs and persons with disabilities
- Support and advise the NIEC to advocate for the inclusion of specific provisions, including temporary special measures, that would both enable increasing women political participation as voters, members of political parties and candidates
- Support and advise the NIEC to advocate for a minimum of 30 percent women representation in elective institutions at national and state-level revised constitution, the electoral law, the political parties law and the NIEC regulatory framework
- Support and advise the NIEC to support NIEC engagement with political leadership and influential traditional and religious leaders on promoting women's political participation
- Support and advise the NIEC to gender mainstreaming training and comparative examples on temporary special measures to youth and women MPs, leaders of political association and parties.
- Support and advise the NIEC to gender mainstreaming training and comparative examples on temporary special measures to the members of the parliamentary committees and of the FGS tasked with reviewing and drafting the constitution, and the electoral law.
- Support and advise the NIEC to support research and data collection on the exclusion of women and members of other marginalized groups from registering or taking part in the electoral process as voters or candidates
- Support and advise the NIEC to reflect gender mainstreaming throughout all UN Electoral Support Programme interventions
- Support and advise the NIEC to advocate for gender mainstreaming in all aspects of the electoral process

- Support and advise the NIEC to support to civil society organizations to promote the inclusion of women, youth and other marginalized groups in the electoral process

#### Activity 2.4: Support to the NIEC's outreach and engagement plans through the provision of UN technical expertise and advisory support

- IESG/UNDP public outreach and external relations advisory costs (staffing and consultancies)

### ***Output 3: Support to the NIEC's electoral operations, such as political party registration, voter registration, preparations and conduct of the universal elections, and other electoral operations***

The universal elections envisaged by 2020 will be the first elections that the NIEC is entrusted to organize. As such, it is crucial that the NIEC is supported by the international community in the preparation and conduct of electoral operations. The need for technical and financial support from the international community is significant. The support required encompasses all aspects of the election, from the planning phase to selecting polling locations, recruitment and training of polling personnel, procurement and delivery of polling day equipment, to the development and effective implementation of a results management system.

The need for a credible and accurate voter register is one of the most critical aspects of an election, particularly in Somalia where no such register exists. The new government, through its National Development Plan 2017-2019, has also identified voter registration (VR) as essential and a priority. The NIEC, mandated to maintain a register of voters has set the strategic objective to register all eligible voters from 2019. A voter registration feasibility study has been conducted in 2017 under the lead of the NIEC to map all options and their pros and cons. Based on the different options, the NIEC is to present in 2018 a voter registration methodology, and to make an informed decision accepted by the relevant stakeholders, including at the subnational level, as well as the develop a voter registration operation plan on the roll out in 2019. The support to voter registration will include expanded capacity building interventions aimed at encouraging the detailed review of the feasibility of the various VR options (to inform the decision on which model to adopt), exposing the NIEC to the different models of voter registration, preparing a VR operational plan and budget, and facilitating mock registration exercises to familiarize NIEC to a VR operation.

Other electoral operations expected to be undertaken by the NIEC in 2018 are the continued (temporary) registration of political parties and the conduct of the by-elections. Funding for the by-elections, including support to delegates, are to be provided by the Federal Government of Somalia and the use of the candidate fees. The UN Joint Programme foresees limited budget support to facilitates the NIEC's deployment in those areas where by-elections are to be held.

#### Activity 3.1: Enhance NIEC capacity to review, design and implement voter registration in a coordinated manner, including polling centre allocation

- Support NIEC' evaluation and selection of VR systems including eligibility
- Supporting initiatives exposing NIEC to the different models of VR through regional cooperation engaged in peer-to-peer learning
- Support to consultations, cooperation and coordination with all relevant stakeholders involved in VR operations including relevant security committees
- Support NIEC with the establishment of an integrated VR operational framework, plans and budgets
- Facilitating mock registration exercises to familiarize NIEC to VR operations
- Support and advise NIEC with specific voter registration activities and measures that facilitate and favour registration of women, people with disability and other vulnerable groups.
- Support and advise development and implementation of a comprehensive awareness campaign on voter registration (output 2)
- Identification of technology needs for selected VR model, and facilitating their use



- Developing voter education outreach program for VR
- Establishing linkages with population registration agencies, Federal Government of Somalia (FGS), Federal Member States (FMS) and other key stakeholders to identify and register voters
- Periodic maintenance of the voter register

#### Activity 3.2: Support to the NIEC of the registration and regulation of political parties

- Support the establishment of the political party function within the NIEC
- Supporting compliance with the legal framework to ensure national outlook of political parties
- Support NIEC' review and consideration of federal funding mechanisms for Political Party registration in line with the Political Party law
- Support and facilitate the establishment of a Political Party Advisory Committee
- Support the development of policies for regulation of activities of political parties, including campaigns and finance
- Support the development mechanisms and processes for compliance by political parties
- Support and advise the NIEC to promote and enhance women's participation in political parties

#### Activity 3.3: Provide direct operational support to NIEC's electoral operations; including preparation and support to the universal elections as well as other required electoral operations

- Operational and budgetary planning for countrywide universal elections
- Identification and finalization of polling locations across Somalia; supporting the boundary delimitation commission in this regard.
- GIS support to the allocation of polling locations and for use in other electoral operation tasks
- Drafting of polling staff training procedures and the production and distribution of training manuals;
- Draft counting and polling state procedures
- Design and implement a robust, secure and timely results management system that enjoys confidence of key stakeholders
- Procurement of international standard polling equipment
- Broad stakeholder consultations throughout the election period
- Develop plans and measures to secure the delivery of materials, storage and polling locations, at central and state levels, etc.
- Identify and procure electoral equipment required to conduct the elections, including non-sensitive polling equipment such as ballot boxes and polling station kits, etc. and sensitive electoral items such as ballot papers and indelible ink
- Recruitment of temporary polling personnel
- Expert advice on clarifying and resolving boundary delimitation issues pertinent to the conduct of elections
- Post-election lesson learning exercise
- Operational and budgetary planning for by-elections and other potential electoral operations necessary
- Ensure that a gender perspective is incorporated in all electoral operations to enhance women's participation in electoral processes
- Support NIEC with to operationalize its electoral dispute management mechanism

#### Activity 3.4: Promote effective and coordinated electoral security

The lesson learned from the 2016 process point to the continued need of the SESTF, a coordination mechanism fully inclusive of Federal security forces (SPF, SNA and NISA), FMSs' forces, AMISOM and NIEC with UNSOM support, and ably supported by a secretariat from the UN. The SESTF developed the comprehensive National Plan for Security for the 2016 Electoral Process which established the Joint



Security Committees (JSC) for each election centre, provided essential guidance and direction that enabled the JSCs to develop and implement their security plans. Specific interventions envisaged include:

- Comprehensive security risk analysis to inform decision-making at every stage of the electoral process
- Follow-up with relevant entities on recommendations from the 2016 security lessons learned report
- Establishment of a joint operations coordination center
- Promote the SESTF's intelligence and information network to provide regular threat assessments informing NIEC electoral planning and coordination
- Support the holding of regular SESTF meetings
- Provide strategic, operational and tactical advice and support to the SESTF
- Support joint FGS/FMS and AMISOM security assessment missions.
- Ensure electoral perspective is taken into account in national joint security documents such as security assessments, and operational plans
- Briefings and trainings to UN and AMISOM on election security and electoral security planning
- Support UN Regional offices to engage with regional security committees through advice, trainings, assessments and plans, meetings, and joint electoral security missions
- Provide security and ensure full compliance with UN security procedures in close coordination with DSS, UNSOS and UNDP security
- Data collection and analysis of the human rights situation during elections
- Develop security measures that facilitate and favour inclusiveness in all electoral processes, including but not limited women's participation and marginalized groups

#### Activity 3.5: Support to the NIEC's electoral operations through the provision of UN technical expertise and advisory support

- IESG/UNDP advisory costs electoral operations (staffing and consultancies)

#### ***Output 4: Establishment of permanent NIEC office facilities***

Institutional capacity does not only refer to the development of human resources, supporting an institution with planning and operational processes or enabling the legal framework. It also encompasses the presence and management of sufficient infrastructure, equipment and assets, in a manner that allows the institution to fulfil its mandate. To enable the NIEC as an independent and permanent entity able to effectively plan and conduct elections and referenda in line with this mandate, it is international best practice that independent electoral management bodies have their own facilities separate from other government entities to avoid any possible perceptions of conflict of interest and undue influence by the Executive. Investing in independent and permanent infrastructure electoral management body adds to creating a sustainable long-term electoral tradition and credibility. The NIEC is a relatively new Commission with currently its Office inside the main premises of the Federal Government (Villa Somalia). This jeopardizes public visibility and an independent accessibility for non-stake actors to visit them. An independent and permanent physical location of the NIEC will represent the national democratic process, build identifiability, legitimacy and the important perception that the process has a permanence in Somalia. The construction of an independent and permanent physical location will not only significantly increase the process of legitimizing the institution, it will also serve as an important symbol of genuine, federal electoral authority.

Likewise, the enhance its presence in the Federal Member States for conduct field activities such as political party registration, voter registration, polling centre assessments, and the logistical coordination of electoral operations, it is important that the is enabled with satellite offices. The NIEC will therefore have to work closely with authorities from the federal member states in finding the best way of deploying a local team in a permanent and independent location.

The Electoral Support Joint Programme aims to support the NIEC with the construction of permanent multipurpose buildings and meeting facilities in different phases. This will contribute to the NIEC establishing itself as a credible and independent institution in Somalia. Having its' own facilities will enable the NIEC to plan and organize the conduct future electoral operations, including voter registration as one of its first major undertakings. In 2016, the NIEC received the title and ownership of vacant land in Mogadishu. Through funding from the Government of Japan, which was managed by the IESG and implemented by UNOPS, the outer perimeter of this wall together with a guard house have been built in 2017. In order to conduct universal elections, it essential that the NIEC is equipped by 2020 first and foremost with independent and permanent Commission and secretariat buildings (first priority), a Media/Conference & Data Centre and a warehouse to facilitate the secure storage, processing and packaging of electoral materials. The cost estimates for the construction of the NIEC office building as part of phase II (Secretariat, Commission, Media / Training and Warehouse) is USD 6 million and funding of this component is under discussions and negotiations with donors.

#### Activity 4.1: Development of independent and sustainable NIEC HQ in Mogadishu

#### Activity 4.2: Establishment of satellite offices in the FMS

Concrete funding and implementation modality for the construction of the permanent NIEC offices is still to be explored.

### ***Output 5: Development of an enabling electoral legal framework supported***

Elections cannot take place in a vacuum, and it is the responsibility of the Executive and Parliament to provide NIEC with a governing framework for elections, in order that it can implement its mandate. UN electoral support provided through this output takes place in the wider context of inclusive politics and institutional development including on constitutional drafting and the legal framework. UN electoral support to the legal framework is primarily focused on technical assistance to the leading entity tasked with the development of the Electoral Law; in particular to MOIFAR possibly supported by other entities of the Executive, while envisaging further support to House of the People once the draft bill is passed on to the Legislative.

Regarding electoral components that are part of the constitutional review process, this will mainly fall within the UN's inclusive governance programming. Technical advice from the UN Electoral Support Programmes related to the Constitutional drafting process will be provided to the Constitutional and Parliamentary UN Programmes. Technical input on the drafting or review of other laws that have an electoral implication, such as the citizenship law, the political party law, etc. will be provided first through the NIEC, or in coordination with other UN programmes.

#### Activity 5.1: Support MOIFAR and if relevant other actors of the FGS and Federal Parliament in the drafting, review and interpretation of electoral legislation

- Advisory services to the Federal Government, and in particular MOIFAR - as well as the Parliament in a following stage - on developing a coherent, consultative and comprehensive legal electoral framework, in accordance with international principles, cognizant of the Somali context and human rights principles
- Provision of technical legal advice to MOIFAR and other relevant actors of the FGS, if relevant, on electoral legislation matters

#### Activity 5.2: Support to stakeholders' consultations on the electoral law

- Supporting stakeholder consultations at the federal and state level on the electoral legal framework
- Facilitating coordination of international efforts on the development of the electoral legal framework

#### Activity 5.3: Support to civic education on the chosen electoral system of representation

- Supporting civic education activities enhancing people's understanding on the chosen electoral system of representation

#### Activity 5.4: UN technical expertise and advisory support to support the development of the electoral law

- IESG/UNDP advisory costs (staffing and consultancies)

## ***B. Resources Required to Achieve the Expected Results***

To deliver maximum results with available resources in a context with a lot of variables, the strategy of the UN Electoral Support Programme is to focus initially on the building blocks necessary to develop conducive conditions and institutions required for universal elections, and progress that needs to be made in 2018 in this regard. As identified in the theory of change analysis in the previous chapters, focusing on crucial periodic milestones on electoral steps is assessed as the best way forward in developing the necessary building blocks towards universal elections in Somalia.

This approach is also reflected in built-in flexibility in the programme management processes and in programme work plans. Sound implementation of the agreed Programme and responsible management of resources is further outlined in the sections below concerning the Governance and Management Arrangements and the annexes comprising the results framework and workplans.

The project and programme management component is strengthened through the recruitment of core project and support staff, either through UNSOM or UNDP in accordance with the recommendations made by the UN Needs Assessment Mission (NAM). Underlying principles of inclusivity, gender sensitivity and conflict sensitivity will guide the planning and implementation of the Joint Programme. Special emphasis will be placed on gender parity and enhanced representation of women. In addition, the Joint Programme for Electoral Support is incorporated in UNDP's Portfolio on Inclusive Politics, which also comprises UNDP support to the Constitutional Review process as well as Parliamentary Support. Direct UNDP operational support functions, such as finance, procurement and administration, are shared across these three Programmes.

### **UNDP/UNSOM IESG structure**

The Joint UN Electoral Support Programme is implemented by the UN Integrated Electoral Support Group (IESG). IESG is an effective integrated structure comprising a combination of UNSOM and UNDP international electoral advisers with specific professional areas of expertise, administrative assistants, international UNVs and national assistants based in Mogadishu. The UN's Integrated Electoral Support Group (IESG) is led by the Chief Electoral Advisor (UNSOM), a Deputy Chief Technical Advisor- Electoral (UNDP), and a Chief Electoral Operations Adviser (UNSOM). A (UNDP) Project Manager is responsible for the managerial responsibilities of the donor funded UNDP activities of the UN Electoral Support Joint Programme, and who has a second reporting line to the UNDP portfolio manager for Inclusive Politics. To ensure continuity, IESG staff members contracted already under the preceding Electoral Support project (2015-2017) are automatically being transferred to the new Project under the same posts.

Informed by the NAM, IESG has identified the following positions in its organigramme for the upcoming period: Director/Chief Electoral Adviser (UNSOM), Deputy Chief Technical Adviser - Electoral (UNDP), Chief Electoral Operations Adviser (UNSOM), UNDP Project Management Specialist (UNDP), Field Operations Advisers (UNSOM), Capacity Building Adviser (UNDP); External Relations Adviser (UNSOM), Public Outreach Adviser (UNSOM), Legal Adviser (UNSOM), Electoral IT advisor (UNSOM), Field Security Adviser (UNSOM), Management Operations Specialist (UNDP), Logistics Adviser (UNSOM), International Administrative Assistant/FS (UNSOM), Finance Specialist (International UNV - UNDP), Project Assets and M&E Specialist (International UNV - UNDP). In addition, IESG is comprised of several national staff supervised by UN international advisers, to enhance its daily interaction with counterparts. Furthermore, on a cost-sharing basis with other UN initiatives, IESG has a GIS Advisor (International UNV - UNDP) working partly for IESG (NIEC) and partly with UNDP's State Formation Project (Boundary and Federation Commission - BFC). A senior electoral security advisor is contracted on a cost-sharing basis with Rule of Law programme to ensure electoral security field mapping analysis as part of security sector reform. As the NIEC will be establishing its field presences in the FMS in 2018, additional electoral positions will be needed under UNSOM's 2018 regular budget to enable initial technical and operational support to the Commission at state-level. IESG also includes provisions for the recruitment of consultants, primarily in the areas of voter registration, electoral system of representation and seat allocations, graphic design and illustration (for public information materials), geographic information system (i.e. to assist the NIEC identifying VR and polling sites), capacity development and secretariat support.

In addition, IESG relies on support respective from UNSOM/UNSOS and UNDP Somalia, with regard to HR, admin, finance, operations, security, corporate requirements, etc.

IESG will in addition be supported by UN HQ (Electoral Affairs Division as part of the Department of Political Affairs), UNDP HQ experts, the UNDP regional hub in Amman, Jordan and EC-UNDP Joint Task Force on electoral assistance based in Brussels, Belgium.

#### **Donors-UN Multi-Partnership Trust Fund – UNSOM core funds**

Donor resources mobilized are envisaged to be channelled through the Multi-Partnership Trust Fund, managed by UNDP, in direct support of the NIEC and the development of electoral law as outlined above in Output 1-5, and in line with the agreed management arrangements.

In addition, UNSOM provides technical experts as well as logistical and transportation support funded from core-funds, as well as in-kind logistical contribution of UNSOS (travel, security, perimeter, compound, offices, etc.). Election-related political facilitation/good offices should remain an integral part of UNSOM's political strategy in support of the FGS and Parliament's efforts to prioritize the completion of the constitutional review and the adoption of election-related legislations. This should also facilitate political buy-in and consensus on an electoral system and on other key decisions law, pertaining to the electoral process.

### ***C. Partnerships***

#### **National Independent Electoral Commission**

The primary partner of the UN Electoral Support Programme is the National Independent Elections Commission (NIEC). Following several decades without nation-wide polls, Somalia's newly established National Independent Elections Commission (NIEC) has begun building an institutional foundation to prepare for future elections. Nine Commissioners, two of whom are women, were sworn in by Parliament on 22<sup>nd</sup> July, 2015, through a competitive recruitment process that began with the publication of advertisements in local newspapers. NIEC comprises a Chairperson, a Deputy Chairperson and 7 Commissioners with the responsibility for policy direction on strategic oversight. They manage operations through 3 sub-committees: Finance and Administration, Electoral Operations and Public Outreach and Policy. The day-to-day operations of the Commission are a responsibility of the Secretariat which is headed by the Secretary General (SG). In order to strengthen the Secretariat's operations, the Commission has retained the services of different Advisors supported by IESG, embedded with the NIEC. Other members of the Secretariat play an administrative support role as reflected in the organisation structure.

See annex NIEC organization structure

The key objectives of the NIEC, in accordance with its five-year strategic plan (2017-2021), are to a) provide for an enabling legal framework to conduct elections, b) establish adequate institutional capacity, c) build an informed electorate, d) facilitate participation through voter registration, e) regulate political parties, and f) deliver peaceful and credible elections by 2020 that reflect the will of the Somali people.

Challenges facing the new body as it works towards these objectives will be the timely development and adoption of an enabling legal framework by the FGS and the Federal Parliament, in an inclusive and consultative manner with the FMS, the operational capacity and legitimacy to operate at the sub-national level with the Federal Member States, the ongoing security threat posed by Al-Shabab and its impact on the NIEC's ability to carry out key electoral operations, and ensuring that all Somalis, particularly marginalized communities, benefit from the introduction of an independent electoral management body and have equal access to the electoral process as voters, as observers, as electoral administrators, and as candidates.

#### **Somali counterparts**

IESG benefits from close partnerships established with the NIEC and MOIFAR, as well as the established partnerships in other UN(DP) programmes with respective Offices in the Government (President's Office,

Office of the Prime Minister, Ministry of Constitution, Ministry of Justice, Ministry of Women and Human Rights Development, the Boundary and Federation Commission, etc.); the Federal Parliament, including Speakers of both Houses and representatives of related Parliamentary Committees; representatives of the Federal Member States; and representatives of selected civil society organizations.

#### **International Community**

Preparing for Somalia's first universal elections since 1969, electoral processes require a unanimous approach of the international community. Key partners are the established donors of the previous UN electoral support project (2014/5-2017), new and potential donor partners, international members of PWG-1, members of the C6+ Group, the African Union (AMISOM), and bilateral partners of the NIEC.

#### **Electoral Assistance Providers**

The UN Electoral Support Programme engages in close cooperation and collaboration with other international agencies and electoral assistance providers, involved in support of the electoral process in Somalia, including but not limited to the US funded BUILD project of Creative Associates EISA, and IRI. Other partners that have been working with the NIEC and on electoral processes include: the Oslo Centre, Interpeace, Saferworld, the African Union.

#### **UN sections, programmes and entities**

Strengthening UN's advocacy and partnerships to promote gender equality, coordinating within UNSOM and UNDP Gender units as well as with UN Women, UNFPA and other relevant UN agencies engaged in Somalia. While IESG reports directly to the SRSG, frequent and regular coordination takes place with the D-SRSGs of both Political and Humanitarian, as well as UNSOM PAMG section on political updates. In addition, the UN Electoral Support Programme cooperates and collaborates closely with UNDP's inclusive governance programming in constitution making and parliamentary assistance, both working towards strengthening governance in Somalia. Furthermore, IESG has established close working relationships on electoral processes with IOM (2016 electoral process; potential out-of-country voting) and UNOPS (construction NIEC HQ).

### ***D. Stakeholder Engagement***

One of the guiding principles of Joint Programme for electoral support is UNSCR 2358 which underscores the importance of the UN's support for the preparation of inclusive, credible and transparent universal elections, including coordination of international electoral support to Somalia.

- Coordinated discussions with stakeholders from the national level, from the federal member states, and from the international community regarding the preparation for universal elections (including the Joint Programme for electoral support) during the Pillar 1 Working Group of 'Inclusive Politics', co-chaired by MOIFAR, and the sub-working group on elections, chaired by NIEC.
- Supported by the electoral joint programme, the NIEC holds regular coordination meetings with national and international stakeholders, including UN, donor partners, electoral assistance providers, and civil society assistance providers.
- The electoral joint programme is supporting MOIFAR, as the current lead entity on the drafting process of the electoral law, with the establishment of a wider 'Electoral Task Force' comprising the NIEC and officials of the President's Office, the Prime Minister's Office, the Ministries of Constitution, Justice, Women Affairs, as well as members of the parliamentary committee on internal affairs. In a next phase, the electoral task force is to seek a lead consensus amongst federal and state leaders on the system of representation.
- The Joint Programme for electoral support is managed by the UNSOM/UNDP integrated electoral support group (IESG), ensuring intra-UN coordination, while providing relevant updates to other UN entities and international partners.
- The Joint Programme coordinates frequently with other international electoral assistance providers funded outside the UN MPTF basket fund on assistance to the NIEC and the drafting of the electoral law.

- The Joint Programme co-chaired by the NIEC quarterly Board Meetings with key partners to discuss process, progress, challenges and next phases.
- Electoral updates are being featured on the UNSOM and UNDP websites, facebook pages, and twitter. In addition, the Joint Programme contributes to the monthly reports and website of the UNDP/EU Global Project of Electoral Cycle support (GPECS).

**Somali electorate:** With a substantial proportion of the population having no first-hand knowledge of democratic electoral processes, the need to inform the public of their rights and obligations, as well as electoral laws, rules and procedures is critical to sustaining peace and moving state formation forward. Civic and voter education enhances public awareness of the democratic process, builds confidence in the transparency and accountability of the electoral process, and promotes opportunities for inclusive participation. An important responsibility for an electoral management body, particularly a newly established one, is to optimize public participation in the electoral process and safeguard the democratic process.

Recognizing this, the Joint Programme for Electoral Support has developed a separate output to assist the NIEC with voter education and information. Besides the development of nation-wide public outreach events, the Joint Programme further supports the NIEC with a unique website and facebook page to inform the electorate.

### ***E. Risks and Assumptions***

While the holding of universal elections in 2016 did not materialize, the NIEC and the FGS expressed clear political commitment to have credible universal elections in 2020.

Credible elections by universal suffrage by 2020 will be determined in large part by the political will and the ability of the country's leadership at federal and state-level, with sustained international support, to address the challenges identified during the NAM. Accordingly, the following parameters will need to be in place:

- a) a significant improvement of the security situation and sufficient security forces with adequate resources to allow conduct of electoral operations in the areas still under the control of insurgent groups;
- b) the continual degradation of and reconciliation efforts with al Shabaab leading up to the elections to reduce the prospects for violence during the elections;
- c) reconciliation amongst warring clans and communities before the elections to reduce the prospects of violence during the elections
- d) trained, equipped and paid security forces to provide adequate security in the areas deemed safe to hold elections
- e) the timely completion of the constitutional review process and the adoption of the electoral legal framework, including an electoral system that gathers broad consensus;
- f) the commitment of political leaders to support the mandate of the NIEC and its decisions, including support from the Federal Member States and their acceptance of the NIEC as the electoral management body to conduct nation-wide electoral operations according to its mandate;
- g) ensuring gender and human rights mainstreaming during the constitutional review process, during drafting of legislation and throughout the electoral process;
- h) the establishing of a legal system to adjudicate electoral disputes;
- i) a consultative and accepted decision on a sustainable approach for voter registration (VR)
- j) the provision of adequate and predictable funding to the NIEC for running costs, salaries and electoral operations;
- k) sustained and coordinated international technical and operational support to the NIEC and relevant federal entities for the development of the Electoral Law;

- l) Strong political commitment to hold the universal elections within the agreed timeline;
- m) Relevant financial support from the Federal Government of Somalia and international community to effectively implement the agreed activities and achieve the project's outputs.

As affirmed by Somali leaders and international partners, a political will to hold elections in 2020 clearly exists. At the same time, it is not yet evident if and how the numerous challenges will be addressed to establish a conducive environment for elections in the next four years. In addition to security issues, major questions regarding the legal and procedural framework remain, with the parliament yet to pass key legislation on elections. Furthermore, the economy of Somalia is very much fragile and the ability of the FGS to collect revenue is extremely limited; a problem that is severely compounded by the ongoing drought. Therefore, securing the necessary resources on time, from both FGS and international partners, will be one of the key challenges. What is more, cleavages in society due to extremism and clan identity, are issues that are not expected to be resolved in the short-term and the security situation is therefore expected to remain the single most pressing challenge.

On the other hand, the increased representation of women, youth and minorities in Parliament reflects the growing tolerance and inclusivity in electoral processes in Somalia. Moreover, the high usage of telephone technology among the Somalis presents a huge opportunity and platform for electoral processes. The wide-spread use of technology, particularly among the youth who comprise an estimated 60 percent of the total population, presents a major prospect for the stakeholders to engage young people in the entire electoral process. Another potential, albeit more long-term, opportunity is to bring together the election management entities on the state and federal level together by trying to align the timelines for subnational and federal elections. This will not only drastically reduce the costs of the subnational elections, but also bring the country closer together.

See Annex for full list of risks and assumptions.

## ***F. South-South and Triangular Cooperation***

One of the key strategies to building the capacity of the NIEC is to promote south-south cooperation and expose the NIEC to the experiences and lessons learned of other EMBs in similar contexts. IESG have been supporting the NIEC with different hands-on electoral experiences of EMBs in African and Arab countries. Supported by the UN, the NIEC became in 2016 a member of the Organization of Arab Electoral Management Bodies (ArabEMBs), and in 2017 of the Associations of World Electoral Bodies (A-WEB). The Joint Project will continue to facilitate partnerships that strengthen south-south cooperation in field of elections. Facilitated by IESG, the NIEC hosted an international conference on political party registration in 2017 with EMBs from Africa and the Arab States. These partnerships will inform interventions and programming related to capacity development of the NIEC. The project also engages in close cooperation and collaboration with other international agencies engaged in support of the electoral process in Somalia including Creative Associates. In addition, the project cooperates and collaborates closely with UNDP's inclusive governance programming in constitution making and parliamentary assistance, both working towards strengthening governance in Somalia.

## ***G. Knowledge***

Given the limited knowledge and expertise on elections in Somalia, the IESG has a strong focus on promoting, generating and managing knowledge on electoral topics. The following guides the knowledge component of the project:

- Facilitating research and analysis on key topics including for example elections as a means to mitigate violent extremism, and inclusion of women and other marginalized communities in the context of Somalia
- Surveys and data collection on participation of women and other marginalized groups
- E-learning courses on thematic topics as defined through consultations with stakeholders



- Production of reports and publications that promote electoral reform and serve as reference material for stakeholders, as well as workshop and conference reports

### ***H. Sustainability and Scaling Up***

The current project builds on the progress and achievements of the Support to the Electoral Process in the Federal Republic of Somalia (2015-2017) and is complementary to the Somalia National Development Plan (2017-2019) and the NIEC Five Year Strategic Plan (2016-2020) both of which reflect strong national ownership of the democratization agenda for the country. The inclusive politics agenda of the National Development Plan prioritizes a sound system of political representation and the guarantee of human rights including political rights. Similarly, the NIEC Five Year Strategic Plan's mission is to conduct elections and referenda that promote and safeguard the democratic aspirations of the Somali people through specific goals and objectives designed to prepare the institution and voters for universal elections in 2020.

With strong national ownership and in close alignment to the NIEC Five Year Strategic Plan, the project's interventions prioritize sustainability through the strengthening of national capacities, establishment of enduring national and international partnerships and emphasis on use of technologies that limit long-term dependence on international donor support.

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## IV. UN ELECTORAL SUPPORT PROGRAMME MANAGEMENT

### Cost Efficiency and Effectiveness

The Joint Programme has been designed with value for money as a key priority, recognizing the multitude of needs in Somalia, and the limited funding envelope of Somali governments at all levels, and of donors. A fundamental underpinning of the Joint Programme is the successful integration of UNDP and UNSOM, and the deployment of high-quality technical specialists, transferring skills and capable of working with local partners. This permits the provision of highly reliable, complex technical advice as needed, as well as more systematic longer-term capacity development. As such, the Joint Programme has been designed to enable UNSOM/UNDP to deploy international advisors, national support staff, and consultants with capacities and comparative professional expertise to provide specialist technical inputs upon demand. Experience during the previous phase demonstrated the importance of this approach – accompaniment based on relationships of trust build over time between Somalis, necessary for IESG to be able to offer Somali partners technical advice on complex electoral concepts, operations and regulatory framework.

As noted in in last year's Secretary-General reports on UNSOM, IESG has been recognized as a successful example of integrated UN support to the implementation of priorities determined by the FGS. The successful integration has been in large part due to the resolve of IESG's management team to transcend the bureaucratic hurdles that have often been an impediment to integration in similar settings elsewhere, ensure co-location within the UNSOM/UNSOS compound, and facilitate systematic information-sharing and synergies between the UNDP and UNSOM components. UNSOM/UNSOS provides the office facilities for IESG and facilitates UNSOS flights to/from and within Somalia for IESG staff and direct counterparts. Security convoys to visit counterparts outside MIA are being alternately requested from UNSOM and UNDP.

Implementing the MPTF arrangements, UNDP will carry out the management of donor funds and the administrative-related work including procurement of goods and services. Where appropriate, the project will prepare Letters of Agreements (LoAs) with national counterparts in order to rely on national implementation capacities. With reference to capacity assessments, the project will implement adequate capacity development, mitigation and monitoring measures in order to safeguard the proper use of funds. The LoA methodology responds to the difficult operating environment which makes it more challenging to deliver responsive, flexible support within the fluid Somali political environment by enabling the quick disbursement of funds for the delivery of basic activities. At the same time, UNDP uses the LoA approach as a means for building financial management and procurement capacity within counterparts, as well as to ensure stronger local ownership. As noted above, the 2016 evaluation found that the LoAs were a relatively efficient and effective mechanisms for implementation, as they enable timely delivery in a highly insecure environment, while their oversight by external third parties has strengthened accountability and reduced the risk of mismanagement. That said, the Chief Technical Advisor, the deputy CTA, the Project Manager, and project's Operation Manager will be responsible for close monitoring of these LOAs, and ensuring that LoAs and the work plans that underpin them operate to progress real results and impacts.

IESG receives significant operational support from UNSOM/S in terms of logistical needs, office premises, equipment, security, etc. For the programmatic overhead of doing business in Somalia, UNDP requires cost-recover for providing Implementation Support Services (ISS) on the basis of actual costs or transaction fee and direct shared cost (DPC). These costs are an integral part of programme delivery, and hence are to be charged to the same budget line as the programme input itself. In determining costs the approach is to use actual costs for clearly identifiable transactions and when this is not possible, UNDP will use the Universal Price List for services (transaction fee), as reference. Fundamentally, the percentage fee for GMS is not intended to recover the cost of ISS, which instead are recovered based on a transaction fee, as described above and shared cost (DPC).

## **UNDP/UNSOM Integrated Electoral Support Group (IESG)**

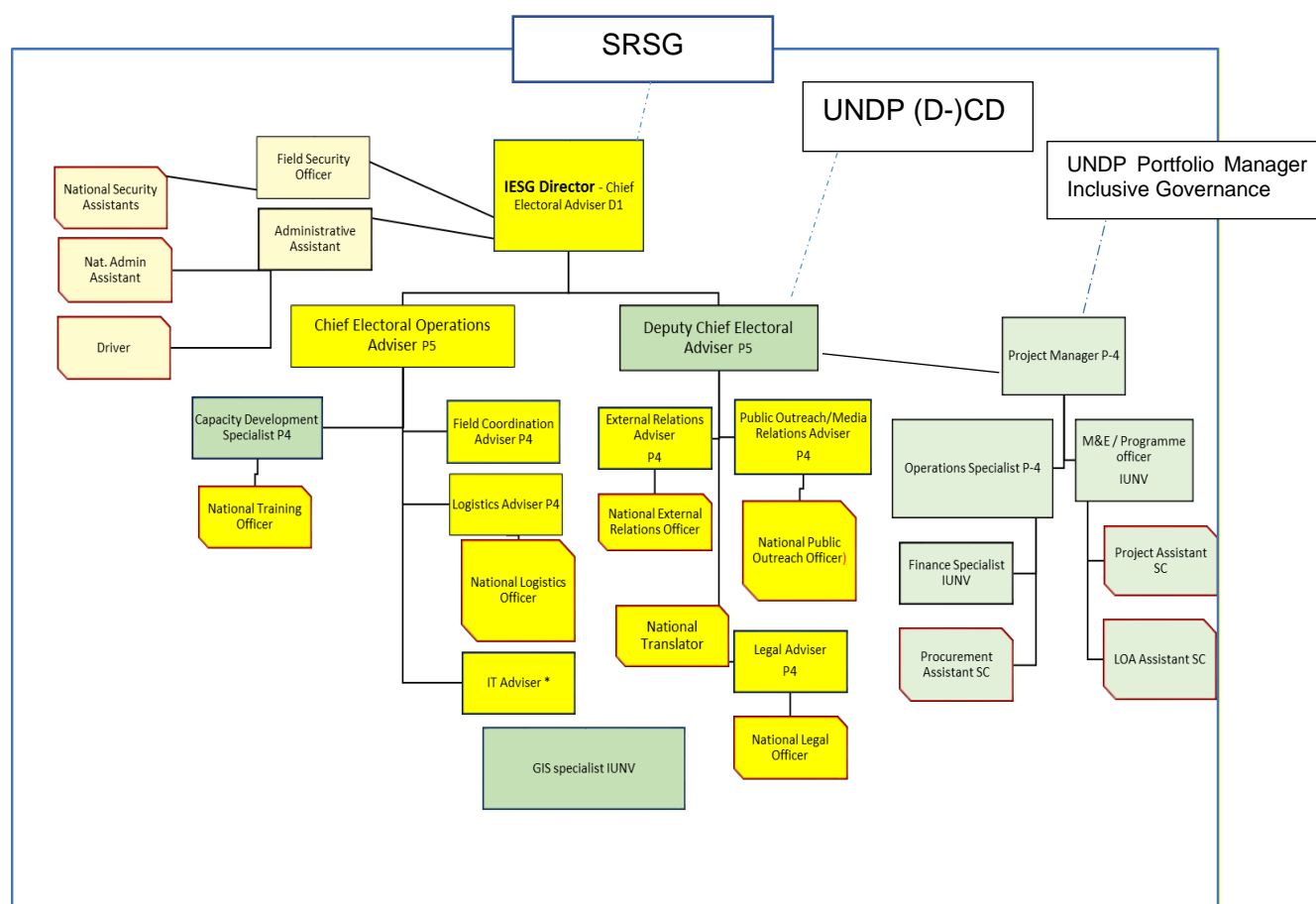
Electoral assistance in Somalia is guided by national ownership and conducted under the leadership of the integrated UNSOM/UNDP Electoral Support Group (IESG). All electoral assistance will be integrated in accordance with the Secretary General's Decision No.2011/23 endorsing a leadership role of the UN focal point on all electoral assistance matters and Decision No. 2010/23 noting that "All electoral assistance...will be delivered in a fully integrated manner from the outset, whether or not the mission is structurally integrated." The experience from the previous UN Electoral Support Programme has shown that the integrated approach works efficiently and effectively. The Integrated Electoral Support Group (IESG) is a successful integrated structure comprising a mix of UNSOM and UNDP international electoral advisers, administrative assistants, international UNVs, and national assistants based in Mogadishu. Therefore, it is envisaged that the previous integrated approach, including co-location of IESG in the UNSOM compound, will be repeated in the current UN Electoral Support Programme.

In line with the NAM recommendations, the current UNSOM P-5 Senior Electoral/Political Affairs post should be converted into UNSOM (P-5) Chief Electoral Operations Adviser, to oversee planning and support in the implementation of electoral operations and coordination of field operations. In keeping with the recommendations of the 2013 NAM the incumbent of both the current (P-5) UNDP Deputy Chief Electoral Adviser and the (P-5) Chief Electoral Operations Adviser should serve as deputies to the Chief Electoral Adviser/IESG Director. Considering the NIEC plans to establish its field presences in the FMS in 2018, additional electoral positions will be needed under UNSOM's 2018 regular budget to enable initial technical and operational support to the Commission at state-level.

The Joint Programme aims to continue the established routine of maintaining close coordination and cooperation with counterparts through multiple meetings per week – in line with UN security policy. The Joint Programme is based in Mogadishu, MIA, with International Advisors meeting each week frequently and regularly relevant counterparts in the Government's facilities. Counterparts are also being regularly invited to meet IESG inside MIA. In addition, IESG employs a national adviser in each professional component of the project and supervised by international advisers. They assist international advisers to implement component parts of the programme, and in this capacity, they are also a valuable resource to bridge the communications with established counterparts. At last, the Joint Programme facilitates the deployment of several national advisers, recruited by and embedded with the national counterparts to strengthen capacity and focus on certain processes that require technical input beyond the government's current expertise.

The 2017 Strategic Assessment Mission noted that the current operational environment is likely to remain unchanged in the foreseeable future, and the status quo of the UNCT footprint inside the UNSOS/UNSOM compound should therefore be acknowledged and factored into any joint operational planning between UNSOM, UNSOS and the UNCT. The expansion of IESG staffing, co-location and flexibility to access UNSOM resources should therefore be factored into common operational planning decisions that take into account programme criticality and resource requirements to implement UN priorities and UNSOM's mandate, such as the provision of electoral support. This should include ensuring adequate office space within UNSOM/UNSOS compound for the entire IESG team and access to the Mission's resources. Furthermore, as the NIEC will be establishing its sub-national field presences in the FMS in 2018, additional electoral positions will be needed under UNSOM's 2018 regular budget to enable initial technical and operational support to the Commission at state-level. The positions, which should be established in each of UNSOM's current and planned field offices in the FMS (and in Mogadishu for the Benadir region, but excluding Somaliland), envisage P-3 Field Ops Electoral Advisers, international UNV Electoral Advisers and National Field Electoral Officers. Once the NIEC's expansion into the FMS is taking place, also UNDP will envisage the recruitment of certain specific electoral field operation advisers, voter registration experts, electoral planning and procedures specialists, etc.

## IESG Organogram (2018)



	UNSOM (yellow) UNDP (green)		
	UNSOM	UNDP	Total
International	10	4	14
IUNV	0	3	3
National	9	3	12
<b>Total</b>	<b>19</b>	<b>10</b>	<b>29</b>

## V. BUDGET

### a. 2018 – 2021: estimate budget (2019 onwards based on NIEC Strategic Plan)

Outputs		Budget (in USD)				
#	description	2018	2019*	2020*	2021*	Total*
1	<u>Capacity Development</u> - NIEC equipped with necessary capacities and structures to prepare for and conduct credible and inclusive elections	1,368,977	4,700,000	4,700,000	4,700,000	15,490,377
2	<u>Public awareness and stakeholder engagement</u> - NIEC supported to enhance public awareness of electoral processes, including promotion of women's participation	1,319,972	1,500,000	1,500,000	1,500,000	5,855,646
3	<u>Electoral operations</u> - NIEC supported in preparations for electoral operations	1,153,888	56,000,000	40,000,000	- (**)	97,152,390
4	<u>Construction</u> - Establishment of independent and permanent NIEC office facilities	-	4,500,000	2,000,000	-	6,500,000
5	<u>Electoral Law</u> - Development of an enabling electoral legal framework supported	704,702	-	-	-	731,452
6	Project Management Support	1,888,104	TBC	TBC	TBC	1,805,779
	MPTF AA	64,356				64,356
	<b>TOTAL</b>	<b>6,500,000</b>	<b>66,700,000</b>	<b>48,200,000</b>	<b>6,200,000</b>	<b>127,600,000</b>
			* Budget 2019-2021 according to NIEC Strategic Plan. The exact budget of UN elections joint programme for this period as well as FGS contribution to elections to be decided at end 2018 based on achieved milestones and developments.			

\*\* Expenditures for the conduct of elections (including VR) are budgeted in 2019 and 2020. In case certain electoral activities would take place in 2021, unspent amounts from 2019-2020 will be carried over to 2021

## b. Budget and key results - 2018 joint programme

	Outputs	Key results expected by end of 2018	Budget 2018 in USD
<b>Output 1</b>	<u>Capacity Development</u> - NIEC equipped with necessary capacities and structures to prepare for and conduct credible and inclusive elections	<ul style="list-style-type: none"> <li>NIEC institutional structure strengthened including NIEC presence in the FMS</li> <li>NIEC capacity development and training plan developed and implementation commenced</li> </ul>	<b>1.37 million</b>
<b>Output 2</b>	<u>Public awareness and stakeholder engagement</u> - NIEC supported to enhance public awareness of electoral processes, including promotion of women's participation	<ul style="list-style-type: none"> <li>NIEC external relations strategies developed and implemented for engagement with stakeholders at national and sub-national level</li> <li>NIEC public outreach and voter education campaigns developed to raise awareness of NIEC role and women's participation in electoral processes</li> </ul>	<b>1.32 million</b>
<b>Output 3</b>	<u>Electoral operations</u> - NIEC supported in preparations for electoral operations, including political party registration and voter registration	<ul style="list-style-type: none"> <li>NIEC ongoing temporary registration of political parties</li> <li>NIEC takes informed decision on VR methodology based on feasibility study, and agreed by key stakeholders; NIEC VR plan completed</li> <li>Voting catchment areas assessed and allocation of VR centres/polling centres underway</li> <li>Re-establishment of the Somalia electoral security taskforce and de-politicized polling areas' threat assessment</li> </ul>	<b>1.15 million</b>
<b>Output 4</b>	<u>Construction</u> - Establishment of independent and permanent NIEC office facilities	<ul style="list-style-type: none"> <li>Construction of Phase 2 (NIEC Permanent Office in Mogadishu)</li> </ul>	<i>TBD</i>
<b>Output 5</b>	<u>Electoral Law</u> - Development of an enabling electoral legal framework supported	<ul style="list-style-type: none"> <li>Electoral law adopted by Parliament</li> </ul>	<b>0.7 million</b>
<b>Output 6</b>	Programme management	<ul style="list-style-type: none"> <li>Sound implementation of the agreed Work Plan and responsible resource management</li> </ul>	<b>1.9 million</b>
<b>MPTF AA</b>			<b>0.06 million</b>
<b>TOTAL without Output 4 (without construction)</b>			<b>6.5 million</b>

## VI. RESULTS FRAMEWORK<sup>7</sup>

NATIONAL PRIORITY OR GOAL: Achieve a stable and peaceful federal Somalia through inclusive political processes and effective decentralization.										
UNSF OUTCOME INVOLVING UNDP #1: Somali political processes are broadly inclusive and benefit Somali men and women.										
UNDP CPD: Outcome 1.3: Somali institutions are enabled to run independent, impartial, transparent and inclusive elections Output 3: Somali women's representation and participation in politics and public sector institutions enhanced										
RELATED STRATEGIC PLAN OUTCOME: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance.										
UN Electoral Support Programme title and Atlas Programme Number: UNDP/UNSOM Joint Programme for Support to Preparations for Universal Elections										
EXPECTED OUTPUTS	<a href="#">Activities - Indicators</a>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1 2018	Year 2	Year 3	Year 4	FINAL	
<b>Output 1: NIEC equipped with necessary capacities and structures to prepare for and conduct credible and inclusive elections</b>	1.1 NIEC enhance electoral knowledge, skills and operational capacity enhanced, including development of related electoral plans and concepts <i>Indicator: improved post-training evaluations of NIEC participants regarding their individual roles and electoral institutional capacity</i>	UN Electoral Support Programme / NIEC reports / TPM	0	2016-2017	1	-	-	-	-	First hand reports; Training Evaluation forms and feedback; Second source reports; Third party monitoring
	1.2: NIEC institutional structure strengthened including NIEC presence in the FMS <i>Indicator: # FMS where NIEC has</i>	UN Electoral Support Programme / NIEC reports / FGS-FMS agreements or	0		1	-	-	-	-	First hand and second source reports;

<sup>7</sup> UNDP publishes its UN Electoral Support Programme information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the UN Electoral Support Programme.

	<i>established sub-national presence</i>	communiques								Third party monitoring
<b>Output 2: NIEC supported to enhance public awareness of electoral processes, including promotion of women's participation</b>	2.1: NIEC external relations strategies developed and implemented for engagement with stakeholders at national and sub-national level <i>Indicator: # of significant engagements the NIEC has rolled out with (sub-) national, including promoting enhanced women participation actors on electoral processes</i>	UN Electoral Support Programme / NIEC reports / TPM	4	2016 - 2017	10	-	-	-	-	First hand and second source reports; Third party monitoring
	2.2: Concepts of NIEC public outreach and voter education campaigns developed to raise awareness of NIEC role and women's participation in electoral processes <i>Indicator: NIEC public outreach and voter education plan developed, including focus on women's participation</i>	UN Electoral Support Programme reports / TPM	0		1	-	-	-	-	First hand and second source reports; Third party monitoring
<b>Output 3: Support to the NIEC's electoral operations</b>	3.1: NIEC temporary registration of political parties <i>Indicator: # of political parties registered</i>	UN Electoral Support Programme/NIEC reports	0	2016 - 2017	1	-	-	-	-	First hand and second source reports; Third party monitoring
	3.2: NIEC takes informed decision on VR methodology based on feasibility study, and agreed by key stakeholders; NIEC VR plan	UN Electoral Support Programme/NIEC reports	0		1	-	-	-	-	First hand and second source reports;



	completed <i>Indicator: VR methodology agreed by partners and VR plan developed</i>									Third party monitoring
	3.3: Voting catchment areas assessed by NIEC and allocation of VR centres/polling centres underway <i>Indicator: # of regions where voting catchment areas are identified</i>	UN electoral support programme reports / NIEC reports	0		1	-	-	-	-	First hand and second source reports
	3.4: Re-establishment of the Somalia electoral security taskforce / Depoliticized polling center threat assessment <i>Indicator: Somalia electoral security taskforce Re-established</i>	Electoral security taskforce reports	0		1	-	-	-	-	First hand and second source reports; Third party monitoring
	3.5: Conduct of interim electoral operations, if required (e.g. by-elections) <i>Indicator: # of by-elections held</i>	NIEC reports / Communiqués FGS(-FMS)	0		TBC	-	-	-	-	First hand and second source reports; Third party monitoring
Output 4: Establishment of permanent NIEC office facilities	4.1: Construction of Phase 2 (NIEC Permanent Office in Mogadishu) <i>Indicator: Construction of phase two</i>	UN Electoral Support Programme reports / NIEC reports	1	2016 - 2017	TBC					First hand and second source reports; Third party monitoring
	4.2: agreement on office establishment in FMS <i>Indicator: # of NIEC offices in the FMS</i>	UN Electoral Support Programme reports / NIEC reports / Communiqués FGS(-FMS)	0		6	-	-	-	-	First hand and second source reports; Third party monitoring
Output 5: Development of an enabling electoral legal framework supported	5.1: Electoral law developed in a consultative and inclusive process and adopted by Parliament <i>Indicator: Electoral law adopted</i>	UN Electoral Support Programme reports / Progress reports / MOIFAR, Parliament /	0	2017	1	-	-	-	-	First hand and second source reports;

		Communiques FGS(- FMS)								Third party monitoring
<b>Output 6 management</b>	<b>UN(D) Programme</b>	6.1 Sound implementation of the agreed Work Plan and responsible resource management <i>Indicator: unqualified audit report</i>	Progress reports, Audits	0		1				First hand and second source reports; Third party monitoring

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## VII. MONITORING AND EVALUATION

Monitoring and evaluation will be integral part of project implementation. The Project Board will assess progress and risks on a twice per a year basis. The Accountability, Oversight and Operations management team will monitor progress by tracking outputs and activity results against indicators and benchmarks for each planned activity. Qualitative measurements and assessments will include compliance with human rights principles, aid effectiveness principles, and the Parliaments' Codes of Conduct as appropriate.

### **Monitoring and evaluation of the project will involve the following processes:**

Within the annual project cycle

- Project Progress Reports shall be submitted to the Project Board through the Governance and Rule of Law Unit and Planning and Partnership Unit (PPU) of UNDP Country Office. As part of its obligation to quality assure all programming funded through UNDP, the UNDP Country Office will continually review project planning documents and undertake periodic monitoring and spot check missions in partnership with parliament and donors as appropriate. The results of these quality assurance exercises will be used to support continuous strengthening of UNDP support to parliaments and will be reflected in the project reporting.
- Monthly Newsletters shall be submitted to all stakeholders, national counterparts, implementing partners, donors and UNDP CO.
- A Monitoring Plan shall be developed annually in line with the activities and also including the monitoring and spot check missions.
- Monthly or fortnightly project reporting will provide on-going activity updates and inform stakeholders in real time, about issues arising.
- Internal reporting within the project will help track activities and progress thereof.
- An Issue Log shall be activated in Atlas and updated by the project management support unit to facilitate tracking and resolution of potential problems or requests for change.
- A Risk Log, based on the generalized risk assessment provided in this document, shall also be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- A Lessons Learnt Log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons Learnt Report.
- Financial Analysis will accompany all project progress reports that will include delivery rates to ensure all UNDP and donor resources are being utilized in accordance with the project document and annual work plans/budgets. Further, the project shall be subject exclusively, to the internal and external-auditing procedures provided for in the financial regulations, rules and directives of UNDP.

### **Internal Assessments**

- Quarterly Assessments shall be undertaken, based on quarterly work plans, to determine progress.

- Annual Project Review shall be conducted internally during the fourth quarter of each year, or soon after, to assess the performance of the project, and appraise the Annual Work Plan for the following year. In the last year of the project, this review will be a Final Assessment. This review will be driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate CPD outcomes.

### Independent Reviews and Evaluations

- The Mandate of UNSOM, which includes the framework for UN support to the elections, is reviewed annually by the UN Security Council.
- UN electoral Needs Assessment Missions (NAM) will be deployed on a regular basis to review progress and set out the parameters of revised UN electoral support
- An assessment of progress and milestones will be conducted by end 2018, before an amended project document is developed.

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

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the UN Electoral Support Programme in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by UN Electoral Support Programme management.	UNDP/UNSOM	
<b>Monitor and Manage Risk</b>	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 UN Electoral Support Programme management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	UNDP/UNSOM	USD10,000
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other UN Electoral Support Programmes and partners and integrated back into the UN	At least annually	Relevant lessons are captured by the UN Electoral Support Programme team and used to inform management decisions.	UNDP/UNSOM	

	Electoral Support Programme.				
<b>Annual UN Electoral Support Programme Quality Assurance</b>	The quality of the UN Electoral Support Programme will be assessed against UNDP's quality standards to identify UN Electoral Support Programme strengths and weaknesses and to inform management decision making to improve the UN Electoral Support Programme.	Annually	Areas of strength and weakness will be reviewed by UN Electoral Support Programme management and used to inform decisions to improve UN Electoral Support Programme performance.	UNDP/UNSOM	
<b>Review and Make Course Corrections</b>	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 UN Electoral Support Programme board and used to make course corrections.	UNDP/UNSOM	
<b>UN Electoral Support Programme Report</b>	A progress report will be presented to the UN Electoral Support Programme Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual UN Electoral Support Programme quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the UN Electoral Support Programme (final report)		UNDP/UNSOM	
<b>UN Electoral Support Programme Review (UN Electoral Support Programme Board)</b>	The UN Electoral Support Programme's governance mechanism (i.e., UN Electoral Support Programme board) will hold regular UN Electoral Support Programme reviews to assess the performance of the UN Electoral Support Programme and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the UN Electoral Support Programme. In the UN Electoral Support Programme's final year, the UN Electoral Support Programme Board shall hold an end-of UN Electoral Support Programme review to capture lessons learned and discuss opportunities for scaling up and to socialize UN Electoral Support Programme results and	Specify frequency (annually)	Any quality concerns or slower than expected progress should be discussed by the UN Electoral Support Programme board and management actions agreed to address the issues identified.	UNDP/UNSOM	

	lessons learned with relevant audiences.				
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#### Evaluation Plan<sup>8</sup>

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
2018 NAM	UN				All electoral stakeholders: NIEC-FGS-Parl, UN, IC, civil society, Sub-national partners, etc	USD 40,000
2018 stock-taking	IESG – NIEC- donor partners			Late 2018	NIEC / MOIFAR / Parliament / electoral stakeholders FGS-FMS	
Mid-Term Evaluation	IESG			2019	NIEC / FGS	USD 100,000
Final Evaluation	IESG			2021	NIEC / FGS	USD 100,000

<sup>8</sup> Optional, if needed

## VIII. WORK PLAN - FY 2018

EXPECTED OUTPUTS	MPTF Budget Category	PLANNED ACTIVITIES	RESPONSIBLE PARTY	PLANNED BUDGET 2018		
				Funding Source	Budget Description	Amount in USD
<b>Output 1: NIEC equipped with necessary capacities and structures to prepare for and conduct credible and inclusive elections</b> <i>Gender marker: 2</i>	Workshops and conferences  Supplies, Commodities, Materials  Equipment, Vehicles and Furniture including Depreciation	1.1 Strengthen NIEC capacity to anticipate, adapt and structure its own processes, regulations and procedures to the subordinate regulatory framework	IESG/NIEC	MPTF	75700 - Training, Workshops and Confer 72100 - Contractual Services-Companies 71300 - Local Consultants 71600 - Travel	43,843
		1.2: Strengthening of NIEC's capacity in areas of technical electoral knowledge and expertise, as well as NIEC's capacity in areas of organizational and operational management	IESG/NIEC	MPTF	72200 - Transportation equipment 72400-Communic & Audio Visual Equip 72500 - Supplies/Stationeries 73100 - Premises alterations 71800-Contractual Svcs-indiv ImpPtnr	130,707
		1.3.: Support to the organizational infrastructure and operationalization of the NIEC	IESG/NIEC	MPTF	72300 - Materials & Goods	211,468
	Staff and other personnel costs  Travel	1.4: Support to the NIEC's organizational capacity through embedded national advisers embedded within the institution	IESG/NIEC	MPTF	71800-Contractual Svcs-indiv ImpPtnr 71600 - Travel	420,000
	Staff and other personnel costs  Travel	1.5: Development of the institutional capacity of the NIEC through the provision of UN technical expertise and advisory support	IESG (UNDP)	MPTF	61300 - Salary & Post Adj Cst-IP Staff 71200 - International Consultants 71500 - IUNV 71300 - Local Consultants 71600 - Travel	473,400
	General Operating & Other Direct Costs	General Management Support (7%)	UNDP	MPTF	75100 - Facilities and Administration	89,559
	<b>Sub-Total for Output 1</b>					<b>1,368,977</b>

<b>Output 2: NIEC supported to enhance public awareness of electoral processes, including promotion of women's participation</b>  +A3	Workshops and conferences	2.1 Support NIEC's outreach to and engagement with national and sub-national stakeholders	IESG/NIEC	MPTF		135,000
		2.2: Support the development and dissemination of public knowledge and awareness campaigns and materials: with regards to general Civic and Voter Education, as well specifically for political party registration, voter registration and the conduct of electoral operations	IESG/NIEC	MPTF	75700 - Training, Workshops and Confer 72100 - Contractual Services-Companies 71300 - Local Consultants 71600 - Travel 72200 - Transportation equipment 72400-Communic & Audio Visual Equip 72500 - Supplies/Stationeries 71800-Contractual Svcs-indiv ImpPtnr 72300 - Materials & Goods	714,569
		2.3: Support the NIEC to promote participation of women as well as marginalized communities in electoral processes	IESG/NIEC	MPTF		184,050
	Staff and other personnel costs	2.4.: Support to the NIEC's outreach and engagement plans through the provision of UN technical expertise and advisory support (IESG direct staffing and consultancy cost)	IESG (UNDP)	MPTF	61300 - Salary & Post Adj Cst-IP Staff 71200 - International Consultants 71500 - IUNV 71300 - Local Consultants 71600 - Travel	200,000
	Travel					
	General Operating & Other Direct Costs	General Management Support (7%)	UNDP	MPTF	75100 - GMS	86,353
<b>Sub-Total for Output 2</b>						<b>1,319,972</b>
<b>Output 3: Support to the NIEC's electoral operations</b>  Gender marker: 2+A16	Workshops and conferences	3.1 Enhance NIEC capacity to review, design and implement voter registration in a coordinated manner, including polling center allocation	IESG/NIEC	MPTF	75700 - Training, Workshops and Confer 72100 - Contractual Services-Companies 71300 - Local Consultants 71600 - Travel 72200 - Transportation equipment 72400-Communic &	595,387
		3.2 Support to the NIEC of the registration and regulation of political parties	IESG/NIEC	MPTF		128,613



	Vehicles and Furniture including Depreciation  Travel	3.3 Provide direct operational support to NIEC's electoral operations; including preparation and support to the universal elections as well as other required electoral operations	IESG/NIEC	MPTF	Audio Visual Equip 72500 - Supplies/Stationeries 71800-Contractual Svcs-indiv ImpPtnr 72300 - Materials & Goods	50,000
	Workshops, conf., Supplies, Materiel, Staff and other personnel costs Travel	3.4: Promote effective and coordinated electoral security	IESG/NIEC	MPTF	75700 - Training, Workshops and Confer 61299 - Salary & Post Adj Cst-IP Staff 71200 - International Consultants 71600 - Travel	100,000
	Staff and other personnel costs  Travel	3.5.: Support to the NIEC's electoral operations through the provision of UN technical expertise and advisory support (IESG direct staffing and consultancy cost)	IESG (UNDP)	MPTF	61300 - Salary & Post Adj Cst-IP Staff 71200 - International Consultants 71500 - IUNV 71300 - Local Consultants 71600 - Travel	204,400
	General Operating & Other Direct Costs	General Management Support (7%)	UNDP	MPTF	75100 - Facilities and Administration	75,488
Sub-Total for Output 3						<b>1,153,888</b>
<b>Output 4: Establishment of permanent NIEC office facilities</b> Gender marker: 0	-	4.1 Development of independent and sustainable NIEC HQ in Mogadishu	IESG/NIEC (UNOPS)	TBC	Construction	TBC
	-	4.2 Development of satellite offices in the FMS	IESG/NIEC (UNOPS)	TBC	Construction / lease	TBC
	-	4.3.: Provision of technical expertise and advisory support to NIEC (direct staffing cost)	UNOPS	TBC	Experts, travel	TBC
	-	General Management Support	UNOPS	TBC		
Sub-Total for Output 4						TBC

<b>Output 5: Development of an enabling electoral legal electoral framework supported</b> Gender marker: 2	Supplies, Commodities, Materials Workshops and conferences Travel Staff and other personnel costs	5.1 Support MOIFAR and other actors of the FGS/Parliament in the drafting, review and interpretation of electoral legislation through facilitation of Electoral Law Task Force - deployment of and support to national advisors	IESG / MOIFAR	MPTF	71800-Contractual Svcs-indiv ImpPtnr 71600 - Travel 72400-Communic & Audio Visual Equip 72500 - Supplies/Stationeries 72100 - Contractual Services-Companies 71300 - Local Consultants 72300 - Materials & Goods	264,400
	Supplies, Commodities, Materials Workshops and conferences Travel	5.2 Support to consultations with stakeholders on drafting process of the electoral law	IESG / MOIFAR	MPTF	75700 - Training, Workshops and Confer 72100 - Contractual Services-Companies 71300 - Local Consultants 71600 - Travel 72200 - Transportation equipment 71800-Contractual Svcs-indiv ImpPtnr 72300 - Materials & Goods	200,000
	Workshops and conferences Supplies, Commodities, Materials Travel	5.3 Support to civic education on the chosen electoral system of representation	IESG / MOIFAR / NIEC	MPTF	71600 - Travel 72200 - Transportation equipment 71800-Contractual Svcs-indiv ImpPtnr 72300 - Materials & Goods	TBC
	Staff and other personnel costs Travel	5.4.: Provision of technical expertise and advisory support (IESG direct staffing and consultancy cost)	IESG (UNDP)		61300 - Salary & Post Adj Cst-IP Staff 71200 - International Consultants 71500 - IUNV 71300 - Local Consultants 71600 - Travel	194,200
	General Operating & Other Direct Costs	General Management Support (7%)	UNDP	MPTF	75100 - -- Facilities and Administration	46,102
<b>Sub-Total for Output 5</b>						<b>704,702</b>

Output 6: Project management	Workshops, Supplies, Commodities, Materials Travel Equipment, Vehicles and Furniture including Depreciation	Project operational support (equipment, assets, etc.), donor visibility, needs assessment	IESG	MPTF	75700 - Training, Workshops and Confer 72100 - Contractual Services-Companies 72200 - Equipment & Furniture 72400 - Communic & Audio Visual Equip 71600 - Travel 72300 - Materials & Goods	130,000
	Staff and other personnel costs	Project management staffing costs	IESG (UNDP)	MPTF	61300 - Salary & Post Adj Cst-IP Staff 71400 - Contractual Services - Individ 71500 - IUNV 71600 - Travel	470,080
	Staff and other personnel costs Travel	Premises	IESG (UNDP)	MPTF	– 73100- Premises	424,120
	General Operating & Other Direct Costs	<b><u>Direct Project Cost</u></b> • Security Support • Monitoring, Evaluation and Oversight • Communication Support • Finance, HR, Procurement, ICT and other office Support • Common Services	UNDP	MPTF	64300- Staff Mgmt Costs - IP Staff	740,384
	General Operating & Other Direct Costs	General Management Support (7%)	UNDP	MPTF	75100 - – Facilities and Administration	123,521
Sub-Total for Output 6						1,888,104
Sub-Total Output 1 to Output 6						6,435,644

<i><b>MPTF AA (1%)</b></i>	<i><b>64,356</b></i>
<b>GRAND TOTAL</b>	<b>6,500,000</b>

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## **IX. GOVERNANCE AND MANAGEMENT ARRANGEMENTS**

### **United Nations Integrated Structure**

Electoral assistance in Somalia will be guided by national ownership and conducted under the leadership of the integrated UNSOM and UNDP Electoral Support Group (IESG). All electoral assistance will be integrated in accordance with the Secretary General's Decision No.2011/23 endorsing a leadership role of the UN focal point on all electoral assistance matters and Decision No. 2010/23 noting that "All electoral assistance ... will be delivered in a fully integrated manner from the outset, whether or not the mission is structurally integrated."

Moreover, the experience from the previous UN Electoral Support Programme has shown that the integrated approach does work. The Integrated Electoral Support Group (IESG) is an effective integrated structure comprising a mix of UNSOM and UNDP international electoral advisers, administrative assistants, international UNVs, and national assistants based in Mogadishu. Therefore, it is envisaged that the previous integrated approach, including co-location of IESG in the UNSOM compound, will be repeated in the current UN Electoral Support Programme.

In line with the NAM recommendations, the current UNSOM P-5 Senior Electoral/Political Affairs post should be converted into UNSOM (P-5) Chief Electoral Operations Adviser, to oversee planning and support in the implementation of electoral operations and coordination of field operations. In keeping with the recommendations of the 2013 NAM the incumbent of both the current (P-5) UNDP Deputy Chief Electoral Adviser and the (P-5) Chief Electoral Operations Adviser should serve as deputies to the Chief Electoral Adviser/IESG Director. Considering the NIEC plans to establish its field presences in the FMS in 2018, additional electoral positions will be needed under UNSOM's 2018 regular budget to enable initial technical and operational support to the Commission at state-level.

In addition, the UN Electoral Support Programme will benefit from an ongoing support by the UNDP electoral experts serving in the European Commission (EC)-UNDP Joint Task Force on Electoral Assistance (JTF). In line with the EC-UNDP Guidelines on Electoral Assistance (signed by UNDP Administrator and EC Commissioner and available here: <https://www.ec-undp-electoralassistance.org/wp-content/uploads/2017/02/Electoral-Assistance-Guidelines-EC-UNDP-2016-2nd-Review.pdf>), JTF is mandated to assist all UN Electoral Support Programmes with EU funding in terms of implementation, reporting, visibility and any other issues. In addition, the experts from the regional UNDP hub in Amman, as well as Global UNDP Procurement Support Office (PSO) in Copenhagen, may be enlisted to provide advisory support in their respective areas of expertise.

### **Programme Board**

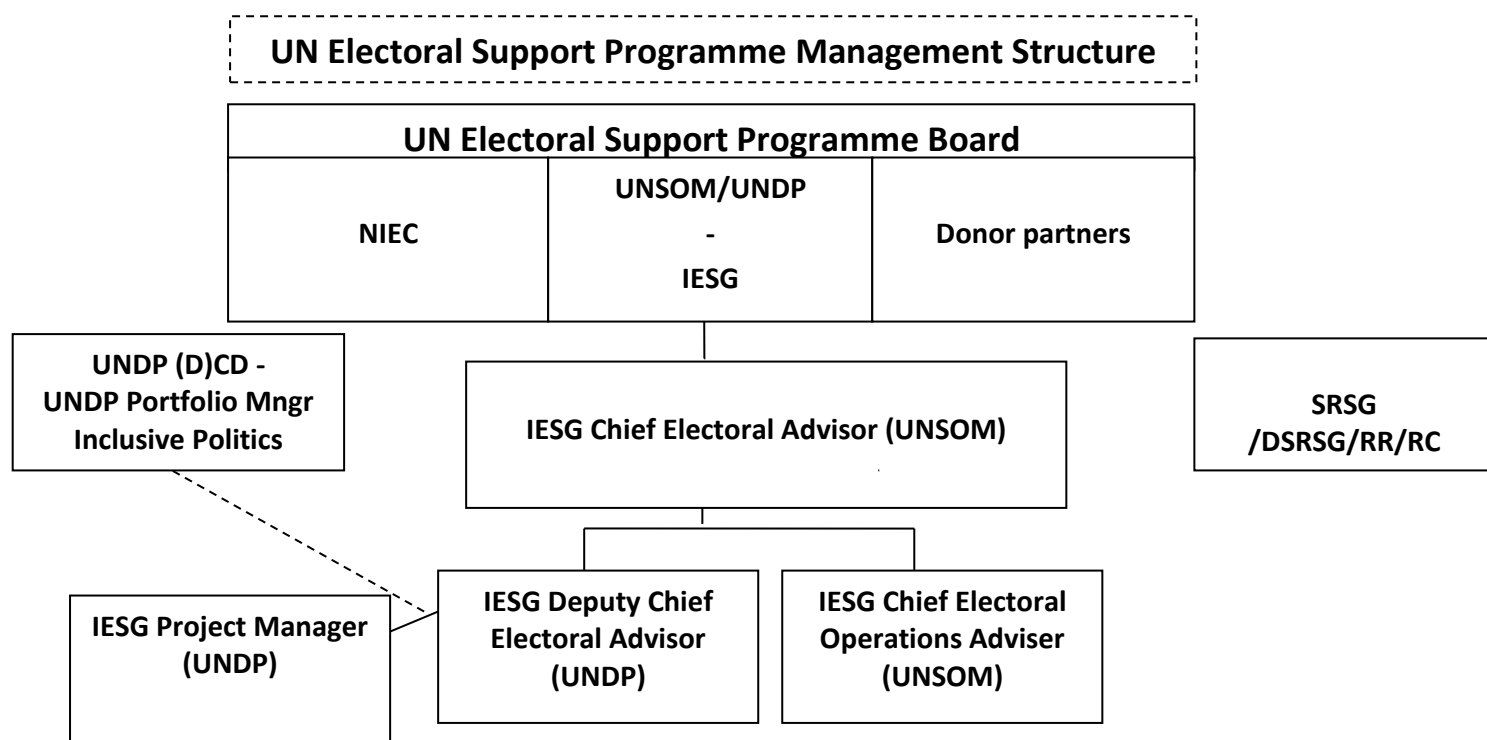
The Board (Steering Committee) of the UN Electoral Support Programme comprises senior representatives from UNDP, UNSOM, NIEC, donor partners, and other relevant partners. The role of the Board is to provide overall guidance and direction to the Joint UN Electoral Support Programme; review, amend and approve work plans and budgets; ensure risk management measures are in place; and ensure effective implementation of the Joint UN Electoral Support Programme. The Board may invite representatives from other organizations, regions and civil society to attend UN Electoral Support Programme board meetings as observers. The Project Board will be responsible for the following:

- Provide general, high-level, strategic oversight to the project activities including financial oversight;
- Provide project and policy implementation oversight;

- Provide overall guidance and direction to the project, ensuring it remains within specified constraints;
- Approve annual work plans and budgets; and based on the approved annual work plans (AWP) authorize any major deviation from the approved work plans and budgets;
- Conduct meetings at least twice a year to review Project Progress Reports and provide direction and recommendations to ensure agreed deliverables are produced satisfactorily according to plans;
- Approve changes and amendments to the existing project document;
- Consider recommendations from the Technical Working Group (if any);
- Monitor progressive achievement of project objectives and provide guidance on long term sustainability of the project's achievements;
- Provide high-level quality assurance for project results and input and advice to on-going risk analysis;
- Undertake mobilization of funding for the project and consider funding for emerging issues;
- Review and approve the Final Project Review Report, including lessons learned;
- Commission project evaluation when required;
- Invite representatives of other project beneficiaries to inform on their specific activities and needs.

The Board meets quarterly, or more frequently as needed. In the lead-up to and during profound electoral processes and operations, the Board could meet more frequently to review crucial developments in the electoral process and take decisions on the scope of the UN Electoral Support Programme's activities and corresponding budget lines. Should there be an urgent requirement for a Board decision, it may be convened as and when necessary on an ad hoc basis including virtually. The Project Board will preferably make decisions on the basis of consensus and in case of any disagreements only then issues will be put to the Board members for a decision, which will be governed by majority vote. All board members will strive for representation in board meetings at a level appropriate for political guidance and decision-making. Minutes of Board meetings will be prepared and distributed.

Figure 3: Somalia Electoral Assistance UN Electoral Support Programme Organization Chart



To facilitate a working-level discussion and prepare for the Board meetings, the UN Electoral Support Programme also supports Coordination Meetings, preferably under the lead of the NIEC. The Coordination Meetings comprise technical-level experts. The role of the Coordination Meetings is to examine and discuss the progress made by the NIEC, technical aspects of the UN Electoral Support Programme, achievements and any obstacles, and overall help inform the agenda for the UN Electoral Support Programme Board meetings. Every effort should be made to hold the meetings in a single location, with all participants physically present; alternatively, VTC facilities can be used.

In accordance with the aid architecture for Somalia and as outlined in the National Development Plan, the decisions of the Board feed into the PWG-1 Sub-Working Group on Elections and the PWG-1 meetings on Inclusive Politics, and are guided by the principles set out in the Somali Development and Reconstruction Facility (SDRF).

### **Programme Assurance**

Programme Assurance is the responsibility of each Project Board member. UNDP, through Programme Oversight and Quality Assurance (POQA) will support the Programme Board by carrying out objective and independent programme oversight and monitoring functions. This role ensures appropriate programme management milestones are managed and completed. Programme assurance has to be independent of the Project Manager; therefore, the Project Board cannot delegate any of its assurance responsibilities to the Project Manager. The UNDP Country Office Partnerships and Planning Unit supports the quality of oversight provided by project and programme teams, and in addition supports internal reporting and compliance. It will also lead the third-party monitoring of all activities under the project. The UNDP Regional Hub for Amman and the headquarters Bureau for Policy and Programme Support will also support the UNDP Somalia Country Office to ensure project assurance, upon request.

### **Audit Arrangements**

The audit of the programme will be organized as a part of the UNDP office audit. An external audit firm will be employed if more frequent audit (annual audit) is required.

### **UN Multi-Partner Trust Fund**

The UN Multi-Partner Trust Fund (UN MPTF) is a pooled mechanism designed to channel funds in support of the implementation of the National Development Plan (NDP). It constitutes the centrepiece of the United Nations' contribution to the NDP. The UN MPTF is an integral part of the Somali Development and Reconstruction Facility (SDRF), established by the Federal Government of Somalia (FGS) and its international partners. The UN MPTF is one of the funding windows established under the SDRF governance structure. The UN MPTF has two funding streams — the UN funding stream and the national funding stream. Under the UN Funding Stream, applicable to the Joint Programme for Electoral Support, UN organisations are eligible to receive funding and subsequent financing may be channelled to national and sub-national institutions and international NGOs through UN agencies, which assume programmatic and financial accountability.

The use of the UN MPTF serves two objectives:

- 1.To increase the coherence and focus of UN programming on the Somali Compact priorities; and
- 2.To allow for greater national participation in resource allocation in Somalia.

As such, donor contributions to the UN MPTF directly support, in both spirit and letter, the implementation of the Somali Compact through the following benefits.

### **A Genuine Partnership**

In particular, decisions on how to allocate donor contributions to the UN MPTF are made jointly between the UN, national authorities and donors, on the basis of the NDP's priorities. In line with the New Deal's

partnership principles, national authorities are no longer left out of these funding discussions. Instead, they are equal partners.

Even if donor contributions are earmarked (to a Joint Programme or a Peacebuilding and State-building Goal/PSG), the process for programme development, consultation and approval empowers the NDP structures (such as the PWG Working Groups), offers relevant national and international actors the opportunity to input into the programmes, and ensures that contributions support nationally agreed priorities and goals.

### **Rapid Delivery**

At the same time, the UN MPTF is designed to ensure rapid resource allocation so that funding is promptly programmed. From pipeline development to programme approval and fund disbursement from the Trust Fund administrator, the UN MPTF combines depth of consultations with speed of process. Donor funding thus supports rapid delivery on the ground.

### **Increased Use of National Systems**

The establishment of the national stream represents a very concrete application of the New Deal commitment to increasing the use of national systems. With fiduciary safeguards developed on the basis of international best practice and tailored to the Somali context, the UN MPTF's national stream offers donors the opportunity to provide funding directly to national entities, build their capacity and enhance their legitimacy in the eyes of Somali citizens.

### **Greater UN Coherence**

The use of the UN MPTF greatly promotes UN coherence and discipline in support of nationally agreed goals. All programmes funded by the UN MPTF need to achieve at least one of the outputs and outcomes of the UN Integrated Strategic Framework (ISF), which articulates the UN's programmatic contributions to the Somalia NDP, with a focus on flagship joint programmes bringing together UN agencies around shared objectives. Donor funding through the UN MPTF, where decisions are made jointly, therefore minimises the risk of a scattered UN with disparate projects chasing donor support bilaterally, missed opportunities for greater efficiencies through joint programming and inconsistent alignment with Compact priorities.

### **Risk Pooling**

The UN MPTF offers a platform for joint risk-taking and risk-pooling. In such a complex environment, the UN MPTF allows donors to pool and mitigate any risk associated with their investment, through diversification (of funding allocations across all PSGs, across different implementation modalities, etc.), sharing (with government, the UN and other donors), and by benefiting from a fund risk management strategy (jointly developed and supported by the UN, the World Bank and the African Development Bank).

### **Reporting**

The UN MPTF provides a coherent overview of activities it funds. Consolidated reporting enables the Federal Government of Somalia, donors, beneficiaries and UN agencies to succinctly communicate the achievements of the Fund against Somali Compact benchmarks.

### **A Flexible and Holistic Approach**

Finally, the logic of the NDP lies in the recognition that political, security, justice and socio-economic goals are mutually reinforcing, and therefore require simultaneous progress. Especially in the case of unearmarked contributions, donor funding through the UN MPTF supports this logic by providing the flexibility needed to cover gaps across all five PSGs, and to ensure that priorities are met concurrently.

### **Fund management modality**



The Joint Programme for Electoral Support follows the pass-through fund management modality according to the UNDG Guidelines on UN Joint Programming. The UNDP MPTF Office, serving as the Administrative Agent of the Somalia UN MPTF, as set out in the Memorandum of Understanding (MOU) for Somalia UN MPTF will perform the following functions:

- (a) Receive contributions from donors that wish to provide financial support to the Joint Programme;
- (b) Administer such funds received, in accordance with this MOU;
- (c) Subject to availability of funds, disburse such funds to each of the Participating UN Organizations in accordance with instructions from the governing body [Programme Board], taking into account the budget set out in the Joint Programme Document, as amended in writing from time to time by the Programme Board;
- (d) Consolidate financial reports, based on submissions provided to the Administrative Agent by each Participating UN Organization (PUNO), and provide these to each donor that has contributed to the Joint Programme Account, to the JP Programme Board, PUNOs, and the SDRF Steering Committee;
- (e) Provide final reporting, including notification that the Joint Programme has been operationally completed;
- (f) Disburse funds to any PUNO for any additional costs of the task that the Programme Board may decide to allocate in accordance with Joint Programme Document.

Each Participating UN Organization assumes complete programmatic and financial accountability for the funds disbursed to it by the Administrative Agent and can decide on the execution process with its partners and counterparts following the organization's own regulations. PUNOs will establish a separate ledger account for the recipient and administration of the funds disbursed to them by the Administrative Agent (1% indirect cost). PUNOs are entitled to deduct their indirect costs (7%) on contributions received according to their own regulations and rules.

As already highlighted in other sections of this document, due to continuously evolving political environment and the transitional setting in Somalia, a flexible management arrangements will be used to implement the UN Electoral Support Programme.

### **Internal and External Reporting**

The UNSOM/UNDP electoral integration is structured under the management of Chief Electoral Advisor, reporting to the Special Representative of the Secretary General (SRSG). UNDP Deputy Chief Electoral Adviser will report primarily to the Chief Electoral Advisor (IESG Director) and will have a dual reporting line to the UNDP (Deputy) Country Director. The UNDP Project Manager will have a double reporting line, to the IESG/UNDP Deputy Chief Electoral Adviser and the UNDP Portfolio Manager for Inclusive Politics ensuring linkages and operational efficiency in terms of UNDP's support to Parliament, Constitution and Elections.

The UN Electoral Support Programme will produce progress and financial reports in compliance with standard UNDP procedures and format, and/or as required by the UNDP Country Office. In addition, the UN Electoral Support Programme will also deliver monthly contributions to the JTF global monthly reports on a regular basis, as well as quarterly and annual status reports covering programmatic issues to the UN Electoral Support Programme Board. These UN Electoral Support Programme progress updates will also be regularly disseminated among the international donor community.

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## **X. LEGAL CONTEXT**

### **LEGAL CONTEXT**

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

### **RISK MANAGEMENT: UNDP (DIM)**

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

Consistent with UNDP’s Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

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

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

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## XI. RISK MANAGEMENT

### UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [UN Electoral Support Programme funds]<sup>9</sup> [UNDP funds received pursuant to the UN Electoral Support Programme Document]<sup>10</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this UN Electoral Support Programme Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct UN Electoral Support Programme and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the UN Electoral Support Programme or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other UN Electoral Support Programme stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the UN Electoral Support Programme Document shall cooperate in good faith with any exercise to evaluate any programme or UN Electoral Support Programme-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to UN Electoral Support Programme sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
  - a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the UN Electoral Support Programme Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
    - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the UN Electoral Support Programme is being carried;
    - ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
  - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as

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<sup>9</sup> To be used where UNDP is the Implementing Partner

<sup>10</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this UN Electoral Support Programme Document.

- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the UN Electoral Support Programme or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. The requirements of the following documents, then in force at the time of signature of the UN Electoral Support Programme Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this UN Electoral Support Programme Document and are available online at [www.undp.org](http://www.undp.org).
- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and UN Electoral Support Programmes. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

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

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

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this UN Electoral Support Programme Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the UN Electoral Support Programme Document.

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

- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this UN Electoral Support Programme Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the UN Electoral Support Programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this UN Electoral Support Programme Document.

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## **XII. ANNEXES**

- 1. UN Electoral Support Programme Quality Assurance Report**
- 2. Social and Environmental Screening Template**
- 3. Risk Analysis.**

## Annex 1: Project Quality Assurance Report (Project Design Stage)

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL				
OVERALL PROJECT				
EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.
DECISION				
<ul style="list-style-type: none"> <li>• <b>APPROVE</b> – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.</li> <li>• <b>APPROVE WITH QUALIFICATIONS</b> – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.</li> <li>• <b>DISAPPROVE</b> – the project has significant issues that should prevent the project from being approved as drafted.</li> </ul>				
RATING CRITERIA				
STRATEGIC				

<p><b>1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.</li> </ul> <p>3. The Theory of Change focus on the link between “effective, accountable and transparent institutions”, and “responsive, inclusive, participatory and representative decision-making”; including “women’s participation and opportunities of decision-making in political and public life”. It also is in line with the UN’s Strategic Framework on Somalia and the UNDP Country Programme Document for Somalia: Outcome 1: “Somali political processes are broadly inclusive and benefit Somali men and women”, and Output 3: “Somali institutions are enabled to run independent, transparent and inclusive elections”. Contributing to: Output 4: “Somali women’s representation and participation in politics and public-sector institutions enhanced” The strengthening of accountability and representative through inclusive, representative and participatory democracy can positively impact social cohesion, peaceful transition, and sustainable political settlement.</p>	3	2
	1	
	<p><b>Evidence</b></p> <p>Pages 7 and 11-20</p>	
<p><b>2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</b></p> <ul style="list-style-type: none"> <li>• <b>2:</b> The project responds to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan. The project’s RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i></li> </ul> <p>2. The project aligns with one of the three priority areas at the global level: strengthening inclusive and effective democratic governance. This has resulted in an integrated global, regional, and country-level approach to policy development and programme implementation for inclusive political processes that reflects UNDP’s substantial experience and capacity in providing support to parliaments, the electoral cycle, civic engagement, constitutional reform, local governance, and social inclusion in political decision-making. The Fostering Inclusive Politics in Somalia Project is also in line with the former New Deal Compact for Somalia (2012-16), the new Somalia National Development Plan (2017-20), UNDP Country Programme Document (CPD) and the UN SCR calling for support to universal elections, peace and reconciliation process.</p>	3	2
	1	
	<p><b>Evidence</b></p> <p>Pages 3-9 and 11-20</p>	

RELEVANT		
<p><b>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>2:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (<i>both must be true to select this option</i>)</li> </ul> <p>2. The project aims to improve inclusion, and focuses strongly on women and youth. Youth in Somalia face high levels of unemployment, disenfranchisement and disaffection with governance processes that excludes them. That said, their engagement in the nation's development is critical to building a peaceful, inclusive and prosperous Somalia. The NDP specifically expresses a commitment to addressing the needs and grievances of young people, and all development support would do well to integrate this aspiration. After the 2016 electoral process, nearly 25 per cent of the new Parliament are women, a significant increase compared to the 14 per cent in the previous Parliament. Overall, over 50 percent of the MPs are new. About 18 per cent of the elected MPs are under 35 years old. Somali women have long been marginalized from political and public life, due to cultural, religious and clan-related traditions that designate the public sphere as a male territory. Women continue to be significantly under-represented in decision-making bodies at all levels. The Project will prioritize work to dialogue with citizens and CSOs and to communicate, including through partnerships with the media and CSOs. Effort will be made to echo the voices of the citizens especially the most marginalized, including women, youth, rural and vulnerable groups.</p>	3	2
	1	
	Select (all) targeted groups: (drop-down)	
	Evidence Pages 3-23	
<p><b>4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.</li> </ul> <p>The project is based on the experiences and lessons learned on the previous UN electoral support JP (2014/2015-2017), as well as lessons learned from other international experiences, overseen by UN EAD. The project is informed by lessons learned, and is structured to continue to document lessons learned in implementation. UNDP has developed experience and knowledge in its programmes in support of institutional and capacity development in the Somali Federal Republic. UNDP and UNSOM has also considered lessons learned from its global work on governance and peacebuilding in conflict-affected countries.</p>	3	2
	1	
	Evidence	
	Pages 3-23	



<p><b>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>2:</b> A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i></li> </ul> <p>The project includes activities focused on gender empowerment and mainstreaming. There will be ongoing capacity development, with a focus on critical topics including gender mainstreaming in electoral processes. There will also be specialized training for NIEC that is receptive to enhance women participation in electoral processes. The project will also identify women's groups for engagement, which will be supported in advocacy training to better lobby parliaments and to facilitate dialogue between the groups and MPs in settings like public hearings.</p>	3	2
	1	
	<b>Evidence</b>  Pages 3-23	
<p><b>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i></li> </ul> <p>3. UNDP and UNSOM recruit advisers with strong international electoral expertise. The UN is with other international partners a leading multilateral organization in the field of global electoral support. UNDP and UNSOM will also work with other UN agencies, and other international electoral assistance providers in Somalia to deliver on policy reform and to further harness expertise to benefit Somalia's electoral process.</p>	3	2
	1	
	<b>Evidence</b>  Pages 3-23	

## SOCIAL & ENVIRONMENTAL STANDARDS

<p><b>7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (<i>all must be true to select this option</i>)</li> </ul> <p>3. Somalia has committed itself to a number of international and regional treaties through which it has obliged itself to follow key human rights standards, including: United Nations Declaration of Human Rights (UNDHR) (1948), International Covenant on Civil and Political Rights (ICCPR) - ratified by Somalia in 1990, International Convention on the Elimination of Racial Discrimination (ICERD), African Charter on Human and Peoples' Rights (ACHPR), African Charter on Human and Peoples' Rights on the Rights of Women in Africa (ACHPR-PW). UNDHR (art. 21): (1) Everyone has the right to take part in the government of his country, directly or through freely chosen representatives. (3) The will of the people shall be the basis of the authority of government; this will shall be expressed in periodic and genuine elections which shall be held by universal and equal suffrage and shall be held by secret vote or by equivalent free voting procedures. (19) Everyone has the right to freedom of opinion and expression. (20) Everyone has the right to peaceful assembly and association. ICCPR (art. 25): Every citizen shall have the right and the opportunity ... without unreasonable restrictions: to vote and to be elected at genuine periodic elections which shall be by universal and equal suffrage and shall be held by secret ballot, guaranteeing the free expression of the will of the electors.</p>	3	2
<p><b>8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>2:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.</li> </ul> <p>2. UNDP Somalia has a range of projects that cover key development topics, including environmental protection. Coordinating with UNDP Somalia will help to ensure environmental sustainability is protected. Further, the communications materials that will be produced to improve the communicative capacities of the assemblies will be printed and created with consideration to sustainability. Communications efforts focus beyond printed materials and include radio spots. The purchase of materials will be considerate of potential environmental impacts. The focus of the project should also limit any adverse impacts, as capacity developments and trainings will strongly utilize human resources.</p>	1	
	Evidence Pages 3-23	
<p><b>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?</b> The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.] Consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<a href="http://www.undp.org/ses">http://www.undp.org/ses</a>) and related Accountability Mechanism (<a href="http://www.undp.org/secu-srm">http://www.undp.org/secu-srm</a>).</p>	Yes	No
	SESP Not Required	

## MANAGEMENT & MONITORING

<b>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (<i>all must be true to select this option</i>)</li> <li>• <b>2:</b> The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (<i>all must be true to select this option</i>)</li> <li>• <b>1:</b> The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p> <p>The project has a strong results framework.</p>	3	2
	1	
	<b>Evidence</b> Pages 23-63	
<b>11. Is there a comprehensive and costed M&amp;E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</b> <p>The Project has developed a very detailed and comprehensive M&amp;E plan that lists the methods to support evidence based management, monitoring and evaluation and monitoring has been costed as part of the project activities.</p>	Yes (3)	No (1)
<b>12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):</b> <ul style="list-style-type: none"> <li>• <b>2:</b> The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The ProDoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (<i>all must be true to select this option</i>)</li> </ul> <p>2. The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified.</p>	3	2
	1	
	<b>Evidence</b> Pages 23-63	
<b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project):</b> <ul style="list-style-type: none"> <li>• <b>2:</b> Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.</li> </ul> <p>*Note: Management Action must be taken for a score of 1</p> <p>The project has been designed with all reasonable efforts to manage risks. A risk log will be entered in and updated in Atlas. The project recognizes critical assumptions about the overall political and security context, as well as the operational basis for implementation. The Project will work very closely with UNDP and UNSOM and other development partners to track these issues and mitigate risks.</p>	3	2
	1	
	<b>Evidence</b> Pages 23-63	

EFFICIENT		
<p><b>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.</b></p> <p>One of the guiding principles of project implementation is a UN integrated electoral mission, which maximizes scarce resources in a restricted operating environment by focusing on developing effective partnerships, based on comparative advantages and close coordination of activities in a coherent and complementary way. Further, the project itself is designed around long-term sustainability. The focus on strengthening of governance and capacities of parliaments will help provide the foundation and the tools for the development plans and strategies. The theory of change states that effective, open and accountable parliamentary institutions, at all levels, will foster Inclusive Politics, which in turn contributes to national peacebuilding, state-building and development. The key strategy for the project is to ensure that activities in support of political reforms are integrated, inclusive and complementary. This will help to ensure the project's sustainability and effective use of resources.</p>	Yes (3)	No (1)
<p><b>15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)</b></p> <p>UNDP has ensured that it has an advantage in the design of the project. In designing the project, UNDP and UNSOM considered other experts and organizations working in the field to ensure it did not duplicate efforts. According to UNSPOM's mandate, IESG takes a lead role in coordination international electoral assistance efforts for Somalia.</p>	Yes (3)	No (1)
<p><b>16. Is the budget justified and supported with valid estimates?</b></p> <p>2. The Project has been designed with value for money as a key priority, recognising the multitude of needs in Somalia and the limited funding envelope of Somali governments at all levels and of donors. That said, a fundamental underpinning of electoral development is skills transfer based on the use of high-quality technical specialists capable of working with local partners to provide highly reliable, complex technical advice as needed, as well as more systematic longer-term capacity development. As such, the Project has been designed to integrate UNSOM and UNDP and to deploy both long-term Somali capacity development staff, complemented by international advisors and consultants with capacities to provide specialist technical inputs upon demand.</p>	3	2
	1	
	<b>Evidence</b>	
	Pages 64-65	
<p><b>17. Is the Country Office fully recovering the costs involved with project implementation?</b></p> <ul style="list-style-type: none"> <li>• <b>2:</b> The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> </ul> <p>2. For the programme, UNDP is required to recover the cost for providing Implementation Support Services (ISS) on the basis of actual costs or transaction fee. These costs are an integral part of programme delivery, and hence should be charged to the same budget line as the programme input itself. In determining costs the approach is to use actual costs for clearly identifiable transactions and when this is not possible, UNDP will use the Universal Price List for services (transaction fee), as reference. Fundamentally, the percentage fee for GMS is not intended to recover the cost of ISS, which instead are recovered based on a transaction fee, as described above.</p>	3	2
	1	
	<b>Evidence</b>	
	Pages 64-65	

EFFECTIVE		
<b>18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. <i>(both must be true to select this option)</i></li> <li>• <b>2:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.</li> <li>• <b>1:</b> The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered. UNDP will use direct implementation given the nature and goals of the project. UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS).</li> </ul>	3	2
	1	
	<b>Evidence</b>  Page 23-63	
<b>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</b> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.</li> <li>• <b>2:</b> Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.</li> <li>• <b>1:</b> No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.</li> </ul> <p>3. The project aims to improve inclusion, and focuses strongly on women and youth. The Project will prioritize work to dialogue with citizens and CSOs and to communicate, including through partnerships with the media and CSOs. Effort will be made to echo the voices of the citizens especially the most marginalized, including women, youth, rural and vulnerable groups. The Project will also select target locations according to the needs assessment, with consideration to conflict analysis and community consultations to ensure it can be more inclusive in its process.</p>	3	2
	1	
	<b>Evidence</b>  Page 23-63	

<p><b>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</b></p> <p>3. Yes</p> <p>Monitoring and evaluation of the project will involve the following processes:</p> <ul style="list-style-type: none"> <li>Project Progress Reports shall be submitted to the Project Board. As part of its obligation to quality assure all programming funded through UNDP, the UNDP Country Office will continually review project planning documents and undertake periodic monitoring and spot check missions in partnership with parliament and donors as appropriate. The results of these quality assurance exercises will be used to support continuous strengthening of UNDP support to parliaments and will be reflected in the project reporting.</li> <li>Newsletters shall be submitted to all stakeholders, national counterparts, implementing partners, donors and UNDP CO.</li> <li>A Monitoring Plan shall be developed annually in line with the activities and also including the monitoring and spot check missions.</li> <li>Internal reporting within the project will help track activities and progress thereof.</li> <li>An Issue Log shall be activated in Atlas and updated by the project management support unit to facilitate tracking and resolution of potential problems or requests for change.</li> <li>A Risk Log, based on the generalised risk assessment provided in this document, shall also be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.</li> <li>A Lessons Learnt Log shall be activated and regularly updated to ensure on-going learning and adaptation within the organisation, and to facilitate the preparation of the Lessons Learnt Report.</li> <li>Financial Analysis will accompany all project progress reports that will include delivery rates to ensure all UNDP and donor resources are being utilised in accordance with the project document and annual work plans/budgets. Further, the project shall be subject exclusively, to the internal and external-auditing procedures provided for in the financial regulations, rules and directives of UNDP.</li> </ul> <p><u>Internal Assessments</u></p> <ul style="list-style-type: none"> <li>Quarterly Assessments shall be undertaken, based on quarterly work plans, to determine progress. Annual Project Review shall be conducted internally.</li> </ul> <p><u>UN electoral Needs Assessment Missions (NAM)</u></p> <ul style="list-style-type: none"> <li>UN electoral Needs Assessment Missions (NAM) will be deployed on a regular basis to review progress and set out the parameters of revised UN electoral support</li> </ul>	Yes (3)	No (1)
<p><b>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</b></p> <p>GEN 2</p>	Yes (3)	No (1)
<p><b>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The project has a realistic work plan &amp; budget covering the duration of the project <i>at the activity</i> level to ensure outputs are delivered on time and within the allotted resources.</li> </ul> <p>3. The project envisaged a multi-year horizon towards universal elections, with direct focus on the electoral building blocks essential in 2018, given the wide range of uncertainties.</p>	3	2
	1	
	<p><b>Evidence</b></p> <p>Pages 23-63</p>	

SUSTAINABILITY & NATIONAL OWNERSHIP		
<b>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>• <b>2:</b> The project has been developed by UNDP in close consultation with national partners.</li> <li>• <b>1:</b> The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul> <p>2. The NAM consulted a wide range of national and international partners to develop its recommendation, which fed into the project document formulation. The NIEC was closely consulted as the main partner during the process.</p>	3	2
	1	
	<b>Evidence</b>	
	Pages 23-63	
<b>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</b> <p>2. A micro-capacity assessment is planned of the counterpart (NIEC) as part of the Harmonized Assessment for Cash Transfers, facilitating the implementation with LOA.</p>	3	2.5
	2	1.5
	1	
	<b>Evidence</b>	
	Pages 23-63	
<b>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.) to the extent possible?</b> <p>UNDP as the Implementing Agency will carry out some administrative-related work including procurement of goods and services. Where appropriate, the project will prepare Letters of Agreement (LoA) with national counterparts in order to rely on national implementation capacities. UNDP uses the LOA approach as a means for building financial management and procurement capacity within counterparts, as well as to ensure stronger local ownership. In particular, by using LOAs to support supplementary staffing, UNDP is able to negotiate locally-based salary rates and increase partner commitment to eventually moving such positions into the permanent parliamentary staff. LOAs are a relatively efficient and effective mechanisms for implementation, as they enable timely delivery in a highly insecure environment, while their oversight by external third parties has strengthening accountability and reduced the risk of mismanagement. That said, the CTA and Project Manager will be responsible for close monitoring of these LOAs and ensuring that LOAs and the workplans that underpin them operate to progress real results and impacts.</p>	Yes (3)	No (1)
<b>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?</b> <p>This current phase of the Project will prioritize active electoral building blocks in 2018 (stage 1). By the end of 2018, stock will be taken by all partners on progress and different crucial milestones. Depending on the technical progress as well as the political context, and informed by a new UN Needs Assessment Mission in 2018, the scope of the UN Joint Programme for Electoral Support will be reviewed and expanded accordingly (stage 2), in light of the next envisaged electoral operations, including the parameters of a voter registration exercise in 2019.</p>	Yes (3)	No (1)

## Annex 2. Social and Environmental Screening Template

### Project Information

<b>Project Information</b>	
1. Project Title	UNDP/UNSOM Joint Programme for Support to Preparations for Universal Elections in the Federal Republic of Somalia
2. Project Number	
3. Location (Global/Region/Country)	Somalia

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

<b>QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?</b>
<b><i>Briefly describe in the space below how the Project mainstreams the human-rights based approach</i></b>
The Project focuses on support to Somalia on its road towards 'universal' elections and provides advice to Somali electoral-related institutions according to international electoral standards in line with article 21 of the UN Declaration of Human Rights and article 25 of the International Covenant on Civil and Political Rights.
<b><i>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</i></b>
The Project advises Somali counterparts to incorporate gender mainstreaming elements to enhance women's participation in the Parliament, and in the electoral management body (NIEC); while simultaneously reaching out to and informing, together with other UN partners (UNWOMEN, UNSOM, etc), women's networks and the public.
<b><i>Briefly describe in the space below how the Project mainstreams environmental sustainability</i></b>
NA



## Part B. Identifying and Managing Social and Environmental Risks

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>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.</i>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			<b>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)?</b>
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>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.</b>
Risk 1: Risk 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	I = 4 P = 3	<b>M</b>	<b>Universal elections in Somalia could affect the representation of minority clans and women if the process is not inclusive</b>	A United Nations electoral needs assessment mission (NAM) was undertaken in 2017. The Project provides input to the UN Leadership and feeds into the PWG-1 to implement an inclusive electoral process. PWG-1 meetings, media campaigns, workshops etc. Importance that the electoral system of representation, the Electoral Law, and the Political Party law are consultative and inclusive. Voter registration needs to be inclusive
2. Risk that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	I = 4 P = 3	<b>M</b>	<b>Universal elections in Somalia could affect the representation of minority clans and women if the process is not inclusive</b>	as above
3. Risk that duty-bearers do not have the capacity to meet their obligations in the Project?	I – 3 P - 3	<b>M</b>	<b>Institutional capacity is low in Somalia</b>	Given the contextualized political and electoral debate, the Project has been building capacities of the national electoral entities and teams
4. Risk that rights-holders do not have	I – 3	<b>M</b>	<b>Weak electoral legal</b>	The Project provides input to the UN Leadership to

the capacity to claim their rights?	P – 3		<b>framework and frail rule of law in Somalia</b>	implement an inclusive electoral process. The Project provides support to the FGS and Parliament to develop an inclusive Electoral Law
7. Risk that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	I = 4 P = 2	<b>M</b>	<b>Universal elections in Somalia could affect the representation of women if they are not included in the electoral processes, and their representation is not guaranteed</b>	Project activities have gender components, gender plans and these are considered through all project activities.
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? Yes	I – 3 P – 3	<b>M</b>	<b>Women groups have been active to advocate for women's quota in Parliament</b>	In 2016, a committee of 'Goodwill Ambassadors' was established to champion for a quota of women's representation in the Federal Parliament. Advocated for inclusion of women in NIEC.
[add additional rows as needed]				
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
Select one (see <a href="#">SESP</a> for guidance)			Comments	
<b>Low Risk</b>			<input type="checkbox"/>	
<b>Moderate Risk</b>			<input checked="" type="checkbox"/>	Project Activities are designed in a way that all human rights, gender considerations are taken into account. They also ensure that advocacy for women's representation and partners are recommended to the government.
<b>High Risk</b>			<input type="checkbox"/>	
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>				
Check all that apply			Comments	
<b>Principle 1: Human Rights</b>			<input checked="" type="checkbox"/>	Any electoral process in a (post-)conflict context includes risks political risks of disenfranchising (minority) groups and/or excluding women if not developed and implemented adhering to international standards in line with article 21 of the UN Declaration of Human Rights and article 25 of the International Covenant on Civil and
<b>Principle 2: Gender Equality and Women's Empowerment</b>			<input checked="" type="checkbox"/>	

			<p>Political Rights.</p> <p>However, it is important to note that Activities are designed in a way that all human rights, gender considerations are taken into account. They also ensure that advocacy for women's representation and partners are recommended to the government.</p> <p>It is important to note that the high risk rating are not linked to project activities per se, but to the overall electoral process that UNDP is supporting. These risks are associated to the overall Outcome of the project which is beyond the direct control of UNDP.</p>
	<b>1. Biodiversity Conservation and Natural Resource Management</b>	<input type="checkbox"/>	
	<b>2. Climate Change Mitigation and Adaptation</b>	<input type="checkbox"/>	
	<b>3. Community Health, Safety and Working Conditions</b>	<input type="checkbox"/>	
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>	
	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	
	<b>7. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	

### Final Sign Off

<b>Signature</b>	<b>Date</b>	<b>Description</b>
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**

<b>Checklist Potential Social and Environmental Risks</b>	
<b>Principles 1: Human Rights</b>	<b>Answer (Yes/No)</b>
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?	Yes
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? <sup>11</sup>	Yes
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?	Yes
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	Yes
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
<b>Principle 2: Gender Equality and Women's Empowerment</b>	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	-
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
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?	Yes
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? <i>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</i>	No
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>	

<sup>11</sup> 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.

1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	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?  <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	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?  <i>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.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>12</sup> 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)?  <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks	No

<sup>12</sup> In regards to CO<sub>2</sub>, '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.]

	to local communities?	
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, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
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
<b>Standard 4: Cultural Heritage</b>		
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
<b>Standard 5: Displacement and Resettlement</b>		
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? <sup>13</sup>	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
<b>Standard 6: Indigenous Peoples</b>		
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
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources,	No

<sup>13</sup> 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.

	<p>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)?</p> <p><i>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.</i></p>	
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
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
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	<p>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?</p> <p><i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i></p>	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: RISK LOG

Project Title: UNDP/UNSOM Joint Programme for Support to Universal Suffrage Elections in the Federal Republic of Somalia						Award/ Project ID:		Date: 2018	
#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	There is a risk that the past ‘clan-based’ 2016 electoral process, the political uncertainties in 2017, including on federalism, constitution and political inclusiveness, draws away focus, willingness and resources from the preparations and capacity development required for universal elections.	2017	Political / Strategic	P = 2 I = 4	The renewed mandate of UNSOM in UNSCR 2358 underscores the UN’s support to universal elections  Based on the recommendations of the NAM, a new Programme outlines the parameters of future UN support to universal elections; which is discussed at length with government and donor partners. The new Programme will also provide different insights on plans of donor partners. Priority is given on the essential building blocks in 2018, incl. electoral framework. Preparation for universal elections has been incorporated in the Government’s political strategy on inclusive politics, together with support to the parliaments, the constitutional review and federalism.	CTA	Project Manager		
2	Risk that limited government capacity and unknown access and	2015	Organizational	P = 3 I = 4	The JP for electoral support is designed to provide tailored international	CTA	Project Manager		



	effectiveness at the sub-national level affects sound programme implementation, supervision, monitoring and evaluation				capacity development to the NIEC, with international advisors in specific electoral niches.				
3	Risk that political instability, lack of political will, political capacity, and conflicts (including AS) derail the process towards universal elections	2015	Political	P = 2 I = 4	Close coordination with UNSOM/SRSG on political developments  Close coordination with security sector, including joint deployment of international security advisor in ROLSIG to provide de-politized polling centre threat assessments	CTA	Project Manager		
4	Risk that the complexity of conducting operations in Somalia would affect sound programme implementation, supervision, monitoring and evaluation	2015	Operational	P = 3 I = 4	The JP for electoral support is designed to provide tailored international capacity development to the NIEC, with international advisors in specific electoral niches.	CTA	Project Manager		
5	Risk that the electoral regulatory framework would not be developed in time affecting progress towards universal elections	2015	Regulatory	P = 2 I = 4	The JP for electoral support is designed to provide tailored international advisers one electoral systems, guiding the counterparts throughout entire drafting process of the Law	CTA	Project Manager		
6	Security conditions adversely impact the frequency with which UN advisers can work closely with government partners and other stakeholders.	2014	Environmental / Security	P = 2 I = 3	UN to use alternative means such as videoconferencing. The Joint Programme is working with other actors, including agencies, programmes and projects that support the Somali	CTA	Project Manager		

					Support to establishment of a security framework and an elections security task force.				
7	Long-term sustainability of electoral processes in Somalia could become an issue if the national electoral management bodies (NIEC) does not receive sufficient funding through the government budget and is dependent on international funding.	2015	Finance	P = 4 I = 3	The Joint Programme works together with the NIEC, donor partners and other stakeholders to include an adequate budget for the NIEC in the Government's annual budget. An electoral Needs Assessment Mission (NAM) was conducted that discussed with national and international partners to define the needs for an electoral capacity development framework towards universal elections by 2020. The NAM defined essential aspects for UN support in 2018. It is envisaged that a NAM will be deployed on an annual basis to take stock on progress and challenges.	CTA	Project Manager		
8	Risk 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.	2015	Social and Environmental Screening	P = 2 I = 4	The NAM has underlined inclusivity as a key element for the UN in the preparations for future universal elections.  Within the guidance of the Government and federal institutions, project supports consultative forums with the public, and works with media to ensure adequate information	CTA	Project Manager		

					sharing and transparency on the process.				
9	Risk that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them	2015	Social and Environmental Screening	P = 2 I = 3	The NAM has underlined inclusivity as a key element for the UN in the preparations for future universal elections.  Within the guidance of the Government and federal institutions, project supports consultative forums with the public, and works with media to ensure adequate information sharing and transparency on the process.	CTA	Project Manager		
10	Risk that duty-bearers do not have the capacity to meet their obligations in the Project	2015	Social and Environmental Screening	P = 2 I = 4	The UN strategy on future universal elections looks into rights-holders and their capacity to claim their rights.	CTA	Project Manager		
11	Risk that rights-holders do not have the capacity to claim their rights	2015	Social and Environmental Screening	P = 2 I = 3	Project activities have gender components, gender plans and these are considered through all project activities. For example, trainings on “Gender Responsive Elections”. There is collaboration amongst UN gender experts and focal persons from the Joint Programme for Electoral Support, the UNSOM/UNDP Rule of Law & Security Institutions Group (ROLSIG), the UN Resident Coordination Office (RCO) and UNDP	CTA	Project Manager		

					CO on gender concerns.				
1 2	Risk that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls	2015	Social and Environmental Screening	P = 2 I = 3	Project activities have gender components, gender plans and these are considered through all project activities. For example, trainings on “Gender Responsive Elections”. There is collaboration amongst UN gender experts and focal persons.	CTA	Project Manager		