



European Commission
United Nations Development Programme
Joint Task Force on Electoral Assistance

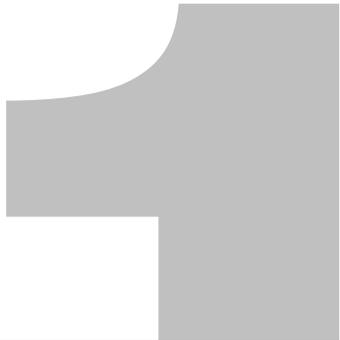


EC-UNDP Workshop on

**Formulating and Implementing Electoral Assistance Projects in the Context of the
EC UNDP Partnership**

**EU-UN Financial & Administrative Framework Agreement, legal provisions
governing EU-UN partnership**

Brussels 1 – 4 February 2011



THE EU-UN FINANCIAL AND ADMINISTRATIVE FRAMEWORK AGREEMENT





The Financial & Administrative Framework Agreement - the 'FAFA'

Scope

- Signed in 2003
- Applies to funds and programmes listed in FAFA
- Specialised agencies have acceded: FAO, UNIDO, ILO, WHO, WMO, UNESCO, IAEA, IFAD, ICAO, UNOPS, ITU (NEW)
- Applies to contributions by all Commission services (except for FP 7 (RTD) and in case of calls for proposals under LIFE + (ENV))
- List of the organisations member of FAFA can be found at:
http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/other_documents_related_united_nations/index_en.htm

Other FA concluded with the World Bank, WTO, OSCE, OECD, Council of Europe, IMF, OIE



Structure and content

- Preamble
- Articles:
 - Financial and legal = (Standard Contribution Agreement)
 - Institutional:
 - Adherence to the FAFA
 - EU-UN Working Group
- Annex: Verification clause



The FAFA vs SPA

Frequently Asked Question: what is the difference between the FAFA and the SPA?

- SPA (Strategic Partnership Agreement) – “what we do together” – a document where EU and UNDP identified areas where a particular added value and/or common interest are evident & recognised. It does not constitute a guarantee of funding by EU.

http://www.undp.org/eu/documents/EC-UNDP_Strategic_Partnership_Agreement.pdf

- FAFA (Financial & Administrative Framework Agreement) – “how we work together” – a framework agreement defining the financial & administrative procedures, requirements & obligations that EU and UN(DP) have accepted to respect when working together. In “everyday life”, provisions of the FAFA are reflected in the General Conditions which constitute Annex 2 to every EU-UN(DP) agreement.

You don't need to read the FAFA, but you do need to know the General Conditions by heart



Complementary documents

- EU-UN Joint visibility action plan (Sep 2006)
- Joint Visibility Guidelines for EC-UN actions in the field (April 2008)
- Terms of Reference on Verifications (April 2009)
- Reporting Guidelines (revised December 2010)

http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/other_documents_related_united_nations/index_en.htm



BASIS FOR THE EU TO FINANCE



Decision making within the EU

LEGAL BASIS (EDF, DCI, EIDHR...)

DESIGN OF AN ACTION:
IDENTIFICATION & FORMULATION

ACTION FICHE incl. management mode

ANNUAL ACTION PROGRAMME
(serves as Financing Decision)

College

FINANCING AGREEMENT
(not if thematic)

**EC +
Beneficiary C.**

Implementation



Financing actions implemented by UN

Traditionally, **award of grants** :

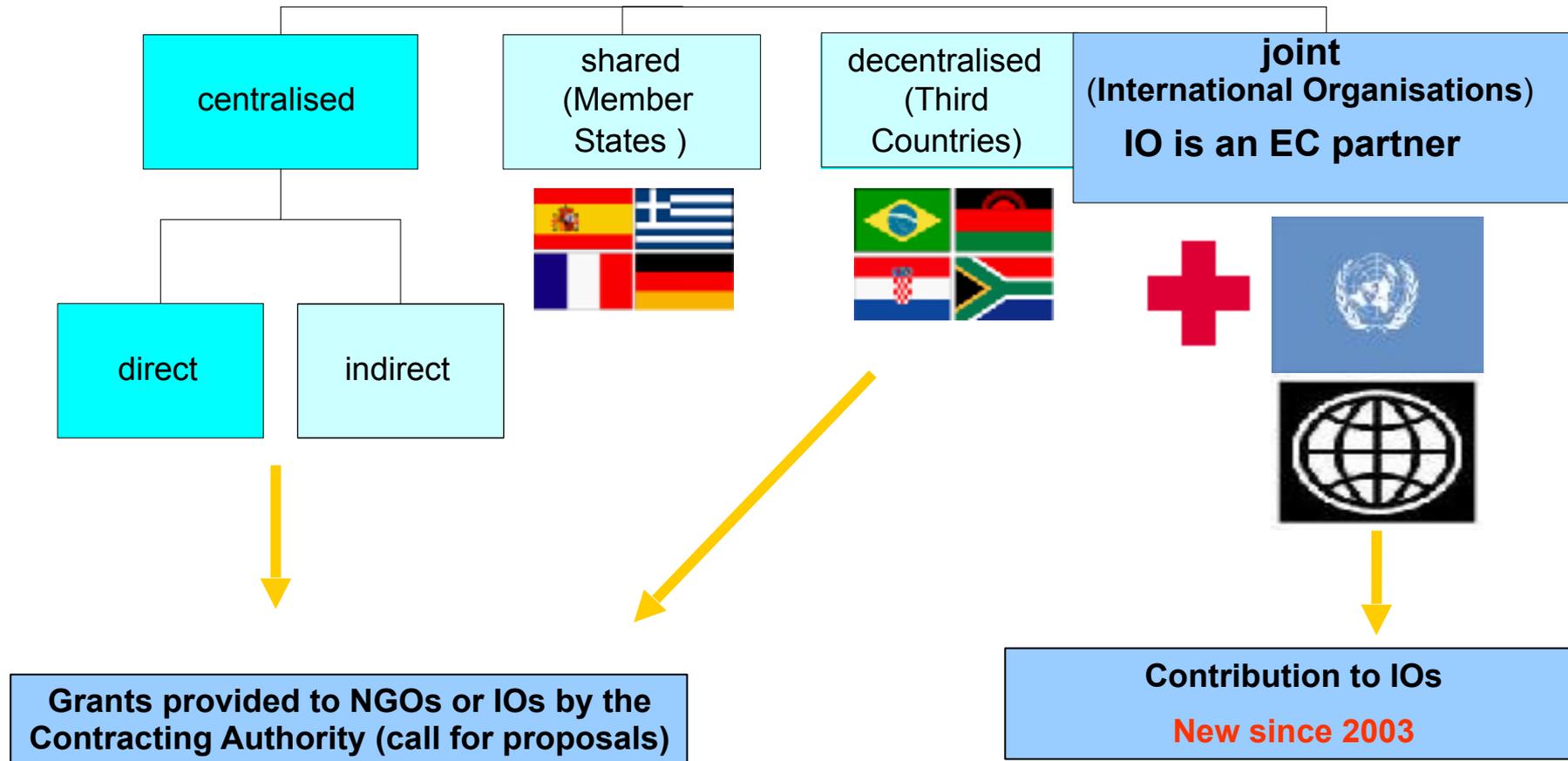
- International organisation responds to a call for proposals
... unless reasons for a direct award
- A traditional grant contract is signed

Problem: does not allow a partnership relation and does not provide the required flexibility for the international organisation to use its own rules.

Solution: In 2003, introduction of a specific modality of budget allocation and a specific model of agreement for International Organisations



Financing actions implemented by UN





Financing actions implemented by UN



Contribution/Administration Agreement

Procedure : no call for proposals, but explicit formal decision from the Commission (College) to delegate EU budget to the UN to implement an action

! Joint management does not mean that the funds are jointly managed with the EC.

See FAQ n°3





Conditions for joint management

Compliance with the “4 pillars”

- Guarantees equivalent to internationally accepted standards – Articles 53d FR & 43(2) IR:
 - Accounting
 - Audit
 - Internal Control
 - Procurement
- Each Authorising Officer shall ensure compliance with these requirements before signing the contract
- 4-pillar-assessment + transparency (ex post publication)



Conditions for joint management

One of the following conditions must be met:

If there is **joint financing**:

1) Multi-Donor Action

...and if there is **no joint financing**:

2) Joint action/programme

3) Framework Agreement

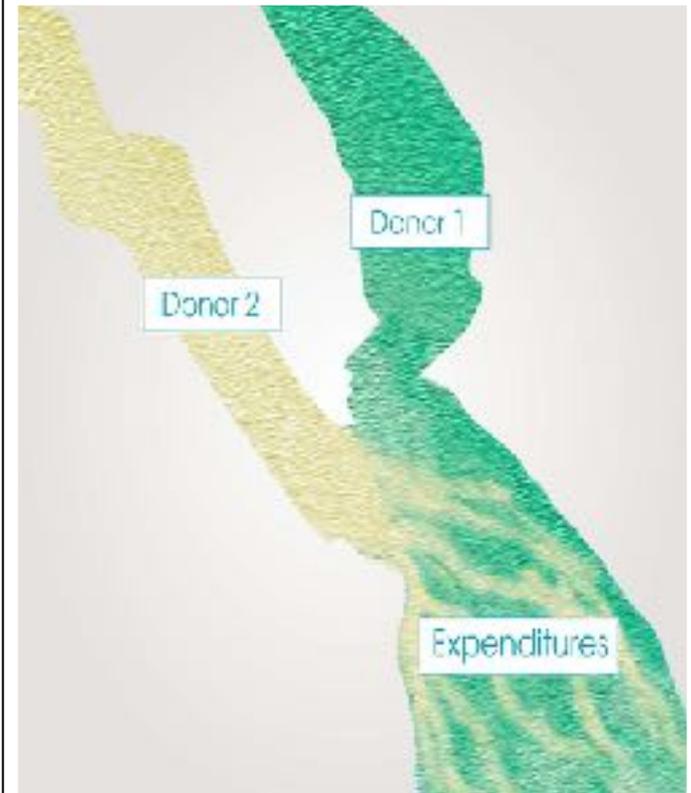


Conditions for joint management

Multi-Donor Action

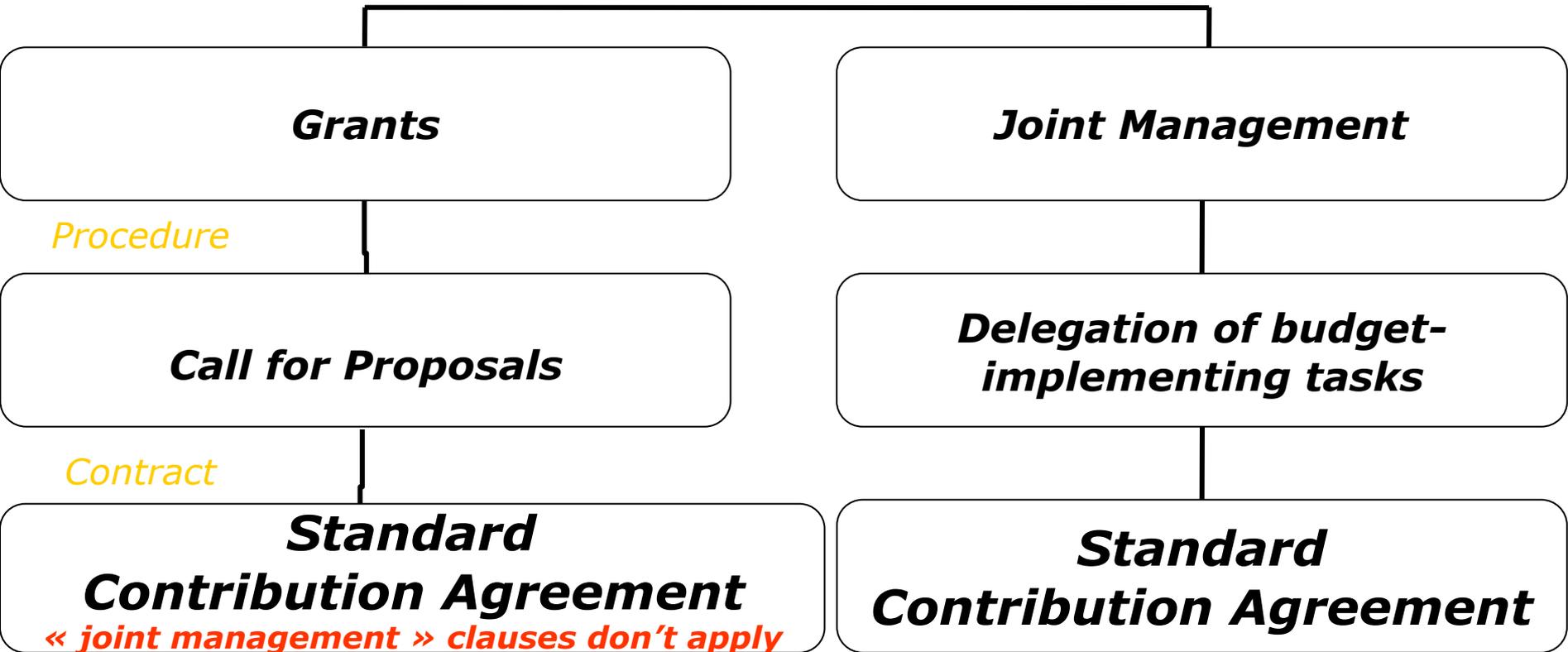
- At least 2 donors (EU included)
- Pooling of resources without earmarking

= Joint financing (Art. 43 IR) Multi-Donor Trust Fund (World Bank)





The model of Agreement





The Standard Contribution Agreement (SCA)

- Based on FAFA and standard grant contract
- Applies to all contributions to all international organisations (except World Bank Group) by all Commission Services except to procurement contracts
- Used for international organisations having passed the 4-pillar review for both “classic” grants (e.g. response to a call for proposals) and contributions under joint management, (some clauses/flexibilities are only applicable in case of joint management).



HOW TO PRESENT A PROJECT PROPOSAL PRACTICAL GUIDANCE



PROJECT PROPOSAL

Keep in mind:

- existing policy frameworks**
- country programmes & strategies**
- EC's & UN's programming cycles, formal requirements**
(e.g. clearance, project documents, AAP)
- technical constraints (e.g. duration of the EC's AAP -financing decision)**
- Standard obligations and requirements for every EU-UN agreement (FAFA, General Conditions)**



PROJECT PROPOSAL FORMAT

- There is no set template to follow**
(exception: calls for proposals and DG ECHO funds)
- The EC will need a Description of activities and Budget necessary to implement those.**
- These will form basis for future Annex 1 “Description of the Action” and Annex 3 “Budget” of the EU-UN Contribution Agreement (explained in next section)**

Frequently Asked Questions about International Organisations (UN incl.)

http://ec.europa.eu/europeaid/work/procedures/faq/international_organizations_en.htm



PROJECT PROPOSAL CONTENT

CONTENT – Some advice:

- Essential:** show coherence of the Action with all stakeholders' priorities, objectives, etc.
- Read the General Conditions first – standard administrative, financial and managerial conditions**
- Adopt a reasonable and realistic approach (better to deliver more than expected than otherwise)**
- Avoid UN jargon, explain acronyms**
- Be clear & consistent in explaining the what, whys, therefore how of the intended Action**
- Already at the design stage think of how you will close it and report upon (reporting continues to be a weak point in EC's assessments of UN)**
- SMART indicators – (Specific, Measurable, Achievable, Relevant, Time-bound) – you will need to report according to what you set**
- Timeline: you will need a workplan**



PROJECT PROPOSAL CONTENT

CONTENT – Some advice:

- Explain the division of labour among actors
- Explain through what mechanisms you will monitor/evaluate the implementation (e.g. standard requirements set in the UNDP Prodoc, field visits, etc.)
- Explain the managerial set up (Project Board/Steering Committee, technical committees, etc)
- Identify the risks and assumptions and show how these have been accommodated into the design of the Action
- Exit strategy / Sustainability
- Make the added value (for the EU when working through the UN) apparent in your project proposal (keep in mind, you're not the only one...)
- Visibility (discuss already at early stage)
- Evaluation (what do you foresee? Discuss in advance as to avoid duplication of efforts)



PROJECT PROPOSAL CONTENT

Couple of words on audit...

- All UN activities are « covered » by the UN auditing system (external and internal)**
- The UN auditors decide on their own programme based on risks assessment and there should be no commitment to undertake audits or share audit reports in project proposals**
- The EC may not audit a UN project**

***Verifications are not audits and they take place in a specifically defined framework (FAFA, General Conditions, Common EC-UN Terms of Reference for Verification Missions)**



PROJECT PROPOSAL BUDGET

BUDGET

Best option: UN presents the Budget on 'its own' template/format.

"The budget structure (Annex 3 of the Contribution Agreement) should reflect the one normally used by the Organisation in its own accounting system. It is not advisable to impose models which do not reflect this structure (for instance, Annex III of the EC Grant Contract may not necessarily match)." **EC's Frequently Asked Questions about IOs (FAQ 22)**

Second best: UN can use a EC's format (only recommended when applying for calls for proposals).

NB! The structure of the Budget for the Action (Annex 3 of EU-UN agreement) will determine the structure of the financial reports



PROJECT PROPOSAL BUDGET

BUDGET

- ❑ **Scope:** the one of the Action (i.e. if multi-donor, then the overall budget of the action should form Annex 3)
- ❑ **Currency:** in Euro (though can maintain other currencies)
- ❑ **Budgeting methods** – as set by UN’s governing rules and regulations, e.g.:
 - ✓ Staff costs – “actual salaries plus social security charges and other remuneration-related costs” (Art. 14.2, General Conditions)
 - ✓ DSA / per diem – the ones applicable to UN (FAQ 48)
 - ✓ Procurement – as set by governing rules and regulations
 - ✓ Contingency reserve – allowed but discouraged (specific a priori authorization required)
- ❑ **Distinction between eligible **direct** costs and eligible **indirect** costs** of the action (the latter not to exceed 7% of the value of the direct costs)

NB! “Indirect costs are eligible provided that they do not include costs assigned to another heading of the budget of this Agreement” (Art. 14.4 GC)



PROJECT PROPOSAL BUDGET

BUDGET – Some advice:

What else to keep in mind:

- The financial report (progress and final) will need to present the same level of details that the Budget / Annex 3 had (ensure you're able to deliver on this)**

- Payment of EC installments – figures will be established based on the indicative costs for each of the 12-month-periods of the Action. The UN to inform the EC on indicative figures. 80-95% of the EC's proportional contribution to a given period would be advanced.**

- UN to advance from other sources what is not pre-financed by the EU**



4

THE STANDARD CONTRIBUTION AGREEMENT: SPECIAL CONDITIONS



The Structure of the SCA

European Union Contribution Agreement with an International Organisation

Special conditions

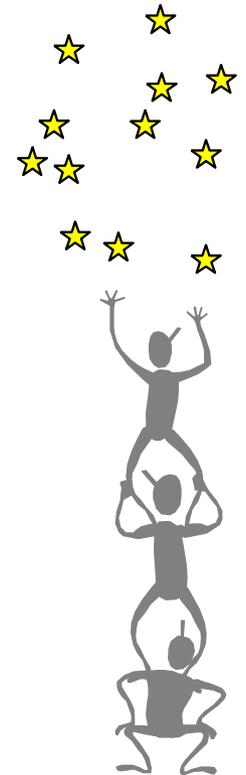
Annex I Description of the Action (Agreed before)

Annex II General conditions (Nothing to do)

Annex III Budget (Agreed before)

Annex IV Financial Identification Form (Done)

Annex V Standard Request for payment (Nothing to do)





When should the term “joint management” included?

1.1. Joint Management → Article 1(4)

- when the conditions for Joint Management are met, and
- when so specified in the financing decision (AAP) – decision by the Commission prior to the signature of the Agreement



Grant or joint management

- Under Joint Management, the UN rules apply for:
 - Bank Interest on pre-financing (also for Multi-donor)
 - Reporting (as no EU model in the call for proposal)
- No limitation to award grants (re-granting)

The clauses in the SCA on the above-issues are different if the funds are provided to the UN in the form of a grant or as a contribution under joint management



When should the term “multi-donor action” included?

1.2. Multi-donor action → Article 1(5)

- At least EU + another donor (e.g. the UN implementing the action)
- No earmarking of funds



Implementation period

2. Implementation Period → Article 2(2):

Option between :

- the day following the last signature of the agreement
- the first day of the month following the date of payment of the first pre-financing
- a later date
- A date preceding the signature of the contract but not preceding the date of the Organisation's request for a contribution

Implementation period is not = execution period of the Agreement or = entry into force of agreement



Amount of EU contribution

3. Percentage in Article 3(2)

- ❑ The contracting authority undertakes to finance a maximum of EUR....equivalent to....% of the estimated total eligible cost
- ❑ For a Multi-Donor Action, the % is not always known when signing the contract
(if not all funds are secured yet, there shouldn't be a reference to a percentage (!!)) in Art. 3.2)
- ❑ Also, if grant, rules on re-granting (no limitation under joint management)



Payment schedule

4. Schedule of payment with a big advance payment

- ❑ pre-financing from 80% to 95%.
- ❑ Further instalments should cover the remainder of the planned budget for the previous year plus 80% to 95% of the forecast budget for the next 12 months.
- ❑ Thus at any time a maximum of only 20% of the budget for the current period can be retained by the Commission.

The SCA does not foresee that a percentage of the total programme budget be retained by the Commission



5. Addresses

6. Annexes

7. Other specific conditions applying to the Action (Art. 7 SC)
if needed to supplement/derogate to the General Conditions



THE STANDARD CONTRIBUTION AGREEMENT: GENERAL CONDITIONS



General Conditions (Annex 2 EU-UN agreement)

At the beginning of the Action

- Take time to ensure that all partners/stakeholders know their tasks and roles, including the involvement of EU counterparts.**
- Think how information would be shared (including informal flows), ownership secured, managerial set up put in place – have EU counterparts part of the solution**
- Clarify / fine-tune the workplan and visibility**

http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/index_en.htm



General Conditions (Annex 2 EU-UN agreement)

General Conditions define:

all general, administrative and financial obligations between the EU and the implementing International Organisation (UN).

UN is the sole responsible and accountable party vis-a-vis the EU, also for the parts of the action which are implemented by third parties (implementing partners, contractors)

Ensure that your contractual arrangements with 3rd parties are adequate for you (UN) to deliver upon your commitments vis-a-vis the EU



General Conditions (Annex 2 EU-UN agreement)

Article 1 General Obligations

- ❑ **Action is carried out in accordance with the Description of the Action set as Annex 1 (legally binding document)**
- ❑ **The International Organisation (IO) shall report on the indicators of achievement**
- ❑ **Sub-contracting is possible but...IO signatory sole accountable (no transfer of responsibility)**
- ❑ **Implementing Partners (already identified in Annex I) have to endorse GCs (see Art. 1.4)**



General Conditions (Annex 2 EU-UN agreement)

Article 2 Reporting

- ❑ Defines reports' structure & minimum elements, language, currency, deadlines for submission
- ❑ General obligations regarding information sharing
- ❑ Helpful guidance:

Joint EC-UN Guidelines on reporting obligations under FAFA

[http://ec.europa.eu/europeaid/work/procedures/financing/
international_organisations/
other_documents_related_united_nations/document/
joint_guidelines_reporting_2011_en.pdf](http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/other_documents_related_united_nations/document/joint_guidelines_reporting_2011_en.pdf)



General Conditions (Annex 2 EU-UN agreement)

Article 3 Liability

- International Organisation: have sole responsibility for complying with any legal obligation incumbent on it and deriving from this Action**

Article 4 Conflict of interest

- International Organisation to take all necessary precautions to avoid conflicts of interest, inform EC if there is such...**

Article 5 Confidentiality

- Parties undertake to preserve the confidentiality of any document, information or other material directly related to the Agreement and duly classified as confidential, until at least five years after the end date of the contribution agreement**



General Conditions (Annex 2 EU-UN agreement)

Article 6 Visibility & Transparency

- ❑ Foreseen in the FAFA and a contractual obligation under the Contribution Agreement
- ❑ Joint EC-UN Visibility Guidelines: « the objective of visibility activities is the communication of the positive results of the EU-UN partnership ».

http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/other_documents_related_united_nations/document/joint_visibility_guidelines.pdf

Advice:

- ✓ **Budget for visibility must be set down in the Contribution Agreement**
- ✓ **Visibility Plan / Strategy (designed during inception phase)**
- ✓ **« Mr. Visibility »: somebody identified to deliver this activity in the CO.**
- ✓ **Don't forget about: Disclaimers on publications, logos on assets & deliverables (where relevant – Art. 6.1)**
- ✓ **Don't forget to report on visibility, whenever possible illustrated with press cuttings, audio-visual transcripts, etc.**



General Conditions (Annex 2 EU-UN agreement)

Article 6 Visibility & Transparency

Publication of « beneficiaries of funds » (contractors/vendors, grant recipients) under an EU-(co-)funded Action:

Contractual obligation for the IOs & its implementing partners to publish on their websites:

- on annual basis**
- for contracts >100,000 US\$**
- title of contract / project, name and nationality of the “beneficiaries”**
- For Multi-Donor Actions list of names only (UN/IO’s respective policies apply)**



General Conditions (Annex 2 EU-UN agreement)

Article 7 Ownership/use of results and equipment

Ownership, title and industrial and intellectual property rights in the results of the Action [...]vest in the International Organisation / third parties (as may be). EC has the right to use free of charge and as it sees fit all documents deriving from the Action provided it does not breach existing industrial and intellectual property rights

End use of assets: to be indicated in final reports.

all **equipment, vehicles** and **supplies** paid for by the EU should be transferred to local authorities or partners (excluding commercial contractors) or to the final recipients of the Action. The documentary proof of those transfers shall be kept for verification. **Advice:** good to have the above done in consultation with the EU.

New (2011): Multi-donor Actions: UN/IO can keep equipment until the end of the overall Action or where there is no local authorities or partners.



General Conditions (Annex 2 EU-UN agreement)

Article 8 Evaluation (and Monitoring)

- Collaborative manner
- Planned ahead
- Procedural matters agreed by both parties
- Draft of the report provided for comments

Also covered in FAFA (Art. 1) and FAQ 45

Frequently Asked Questions about International Organisations (UN incl.)

http://ec.europa.eu/europeaid/work/procedures/faq/international_organizations_en.htm



General Conditions (Annex 2 EU-UN agreement)

Article 9 Amendments

- to be requested one month before it is intended to enter into force (including request for extension of the agreement).
- Must be done in writing
- Budget/Annex 3: for reallocations between items inside the same heading, there is no limit (100% modification including deleting items or inserting new ones) **FAQ 25**
- Transfer between budget headings :
 - < 15% authorized : only inform in writing
 - >15% **AMENDMENT** to be **REQUESTED** a priori

See FAQs 24 to 27



General Conditions (Annex 2 EU-UN agreement)

Article 10 Contracting

Contracting arrangements, including principles for award of grants – need to be specified in Annex 1. If these are not yet known at the time when the Contribution Agreement is established, they should be presented to the EC as soon as available.

Changes – the EC to be informed with as much prior notice as possible

(See FAQ 23)

Procurement : **UN (IO's) rules and procedures apply** – Note that Art 10 mentions: (i) general principles & (ii) exclusion cases.



General Conditions (Annex 2 EU-UN agreement)

Article 11 Suspension and Force majeure

« The implementation period of this agreement is automatically extended by an amount of time equivalent to the duration of the suspension »

Duty of information (2.11)

Article 12 Termination of the Agreement

« the purposes of this Agreement can no longer be effectively or appropriately carried out »

Article 13 Settlement of disputes

Endeavour to settle amicably any dispute or complaint relating to the interpretation, application or fulfillment of this Agreement, including its existence, validity or termination.

FAQ 50 – dispute settlement mechanism



General Conditions (Annex 2 EU-UN agreement)

Article 14 Eligible costs

2 types of eligible costs: direct and indirect

Direct costs must comply with eligibility criteria (GCs14.1):

- 1) necessary for the Action, provided specifically for it
- 2) committed during the implementation period
- 3) recorded in Organisation's account, identifiable and backed by supporting evidence

Eligible means...can be part of the budget proposal

See FAQs 28 to 32



General Conditions (Annex 2 EU-UN agreement)

Article 14 Eligible costs

Eligible direct costs:

“In particular eligible are”: see **non exhaustive list of types of costs** in Art. 14.2 (such as proportion of field office costs that corresponds to the activity, salaries, equipment, travel, etc.)

See **FAQs 28 to 32**

DSA = Per diem: UN DSA rates apply **FAQ 48**

Non Eligible : Currency exchange losses, Taxes (unless non-recoverable) , in-kind contributions (except for staff costs – provided 14.6 and 14.1 respected)



General Conditions (Annex 2 EU-UN agreement)

Article 14 Eligible costs

Eligible indirect costs

not exceeding 7 % of total **direct** eligible costs

(UNDP's Executive Board's decision 2007 – 7%)

If multi-donor, not higher or lower than for other comparable contributions

See FAQs 33 to 37



General Conditions (Annex 2 EU-UN agreement)

Article 15 Payments

Prefinancing set at 80-95% of EU's contribution to a given year's budget

("[...] at any time a maximum of only 20% of the budget for the current period can be retained by the Commission. The SCA does not foresee that a percentage of the total programme budget be retained by the Commission. The level of pre-financing should not be used to avoid potential over-payments.") FAQ 39

Request for payment – template to use

After 45 days following the submission of report (date of receipt by EU), if no news, the report is deemed approved

***Late payment interest ... (Art. 15.3)**



General Conditions (Annex 2 EU-UN agreement)

Article 16 Accounts and financial checks

Accounts and finance managed as set by governing UN (IO's) rules and regulations

Art. 16.2

“Financial transactions & financial statements shall be subject to internal & external auditing procedures laid down in the financial regulations, rules & directives of the Organization (UN). A copy of the audited financial statements shall be submitted to the European Commission by the Organisation.”

Last sentence refers to the financial statements of the International Organisation (UN) in its entirety, which is made publicly available and shared with the European Commission outside the scope of an individual Contribution Agreement. **FAQ 44**

No project-specific audit report can be disclosed by UNDP (focal point: Office of Audit & Investigations, NY)



General Conditions (Annex 2 EU-UN agreement)

Article 16 Accounts and financial checks

Article 16.3 **“The IO shall (until at least 5 years after...)**

- **keep financial accounting documents concerning the activities financed by the EU**
- **make available to the competent bodies of the European Communities, upon request, all relevant financial information, including statements of accounts concerning the Action, whether they are executed by the Organisation or by its implementing partners or contractors**

Article 16.4: **The EU may “undertake, including on the spot, checks related to Actions financed by the Contracting Authority”**

The above refers to verifications. Conduct of these is specified in “Common Terms of Reference (Tor) for Verification Missions”, available here:

http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/other_documents_related_united_nations/index_en.htm



General Conditions (Annex 2 EU-UN agreement)

Article 17 – Final amount of financing by EU

The EU contribution “shall be limited to the amount required to balance income and expenditure for the Action and that it may not in any circumstances result in a surplus for the Organisation.”

Maximum amount = set in article 3(2) Special Conditions.

Note the method (Art. 17.2) when there is “%” !!! Don’t wait until the end of the Action to change it if inaccurate

NB Right of refusal: EC can reject expenditure that is deemed ineligible so please, when in doubt, consult with EU Delegation and/or your Organisation’s EU focal point



General Conditions (Annex 2 EU-UN agreement)

Article 18 – Recovery

- 1) Where the amount pre-financed exceeds the amount of eligible costs attributable to EU contribution
- 2) Eventual ineligible costs – to be reimbursed to the contracting authority

Timeline: 45 days following the issuance of a debit note

If deadline not met – late payment interest are due !!

The recovery procedure is set in the ***EC-UN guidelines on recoveries including through offsetting*** available here:

http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/other_documents_related_united_nations/index_en.htm



FAFA/ANNEX & Article 16.4 GENERAL CONDITIONS

- 1) Financial transactions & statements are subject to internal & external auditing procedures of the UN
- 2) Copy of the UN audited statements to be submitted to the Commission (this refers to the financial statements/audit reports by UN's external bodies. No project-specific report is shared with the EC) – also explained in FAQ 44
- 3) UN shall: keep financial and accounting documents concerning the activities financed by the European Communities; make available to the competent bodies of the European Communities all relevant financial information.
- 4) European Communities may undertake checks, including on the spot. Such verification missions are carried out in line with “*Common terms of reference for a Verification Mission*” available here:

http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/other_documents_related_united_nations/index_en.htm



The overarching principles (FAFA)

- 1) Recognition by Commission of primacy of UN oversight and control systems**
- 2) Recognition by UN of Commission's need to obtain assurance that an adequate system of accountability is in place.**
- 3) Right of Commission to perform on-site "walk through" of these systems**
- 4) Right of Commission to request all relevant financial information (drawn from accounts and records) including verification of underlying documents. Such information will be in a form which makes it possible for the EC to verify the use, in line with the provision of the FAFA, to which its funds and contributions have been put.**



VERIFICATION

Objectives of a verification mission

To acquire an understanding of, and to report on the adequacy of the system of accountability in place (accounting systems and procedures, control and procurement procedures, reporting, oversight/audit mechanism).

It must be noted that the objective of the verification is not to audit the UN entity. The Commission acknowledges the mandated primacy of UN oversight and control systems.

The verification mission may sample up to a maximum of 5 transactions per key process (procurement, recruitment including payroll, disbursements, budget management, logistics and reporting) per project. In case of problem occurring in the samples, the verification team is allowed to sample another 5 transactions in the same process. If one or more of these extra 5 transactions reveals any further problem, the verification team will not pursue sampling but will refer to the UN Controller.



VERIFICATION

Verifications are:

- launched by HQ or locally by EUDs
- carried out by private companies contracted by the EC or EC officials

When:

At all stages of the programme/project cycle (programming, implementation, closing), including up to 5 years following the closure of the agreement. Most missions shall take place towards the end or within 12 months following the end of the EU-UNDP agreement.

Should you be notified by the EU Delegation or their intention to undertake a verification mission please inform UNDP Brussels Office without delay:
pierre.harze@undp.org, agnieszka.brocka@undp.org; anna.hysbergue@undp.org



VERIFICATION

The verification team will:

Review systems, procedures and financial & management information.

Conduct interviews, hold meetings with relevant stakeholders

“Walk through the system”

Examine information and ask for various supporting / financial documentation

Reconcile figures, analyze procedures

PLEASE MAKE SURE VERIFICATION TEAM CONCLUDES THEIR VISIT BY A COMPREHENSIVE BRIEFING – GOOD OPPORTUNITY TO CLARIFY OUTSTANDING MATTERS

Result of a verification mission:

A report of factual findings, including a conclusion and where appropriate recommendations / suggestions. The UN will be invited to comment on the report.

Some findings on ineligible expenditures may trigger recovery orders issued by the Commission.



How does it work in the field?

In line with the **EC UNDP Operational Guidelines for Electoral Assistance**, the **Joint EC UNDP Task Force on Electoral Assistance** carry out mainly 2 type of support missions to UNDP Country Offices and EU Delegations:

Formulation missions: traditional missions triggered by request of support by UNDP COs and/or EU Delegations in close coordination with other UN/UNDP units (DPA, BDP)

Troubleshooting missions: triggered by request of support by UNDP COs and/or EU Delegations in close coordination with other UN/UNDP units (DPA, BDP). These missions can also result from UNDP BO/AIDCO 4 assessment (follow-up)

Follow-up missions: more recent missions resulting on JTF/UNDP BO monitoring activities. Triggered mainly by UNDP BO/JTF.



Field Examples: Guinea Conakry, 9/09 – the ideal formulation context

Formulation context:

Agreement between EU Delegation and UNDP CO regarding the ToR of the formulation mission – support UNDP CO to close previous SCA and prepare new one

Adequate timeframe for the formulation mission – 15 working days

Considerable HR allocated to the mission – 4 mission members

PMU in place – CTA and finance officer



Field Examples: Chad, 9/09 – complex formulation context

Formulation context:

Differences between EU Delegation and UNDP CO regarding the ToR and timing of the formulation mission – UNDP CO was unsure of the pertinence and timing of the mission and of the need for a SCA at the time

Considerable time constrains for the formulation mission – 5 working days

Not enough HR allocated to the mission – 1 mission member

PMU not in place – one senior expert in place



Field Examples: formulation mission's deliverables

Follow-up on existing SCA

Revise/formulate PRODOC/Annex I & III (aligning UN/UNDP with EU and other partners)

Support EMBs and other actors to refine main tools and documents

Prepare SCA (or riders to an existing SCA)

Meet and discuss with stakeholders

Provide FAFA training

Working sessions and advice with UNDP Programme and operations



Field Examples: main issues

- Annex I vs Prodoc vs Action Fiche**
- Annex III vs Prodoc budget & AWP**
- Logical framework vs Results and Resources Framework**
- Prodoc formulation vs SCA formulation**
- UNDP clearance procedures vs EC-UNDP close trust fund clearance procedure**