



PROJECT DOCUMENT

UNDEF Project Number: UDF-17-739-GLO

Project Title: Enabling National Initiatives to Take Democracy Beyond Elections

Country/Region: Global

Implementing Agency: The newDemocracy Foundation
Address: Level 1, Lot 3, Pier 8/9, 23 Hickson Road, Walsh Bay NSW 2000, Australia
Email/telephone: iain.walker@newdemocracy.com.au/+61 412 544 116
Website: www.newdemocracy.com.au

Implementing Partner(s): N/A

Duration: 24 months

Project Start Date: 1 November 2018
Project End Date: 31 October 2020

Funding Round and Year of Application: Twelfth Funding Round, 2017
Amount of UNDEF Grant in USD: \$ 275,000 (UNDEF M&E inclusive)

This project has no funding other than the UNDEF grant.

Project Description:

Making democracies more inclusive requires bold and innovative reforms to bring the young, the poor, and minorities into the political system. Some countries have piloted initiatives for assemblies on specific issues where members are not nominated by political parties but chosen at random for a limited term to represent all sectors of society, to prevent the formation of self-serving and self-perpetuating political classes disconnected from their electorates. The project aims to enable more countries to develop initiatives of this kind. It will develop and distribute a handbook on 'Democracy Beyond Elections' designed to show how nations at various levels of development can apply the principles of representation and deliberation in ways that are appropriate to their economic and educational circumstances. The project will fund three pilot projects to further the demonstration effect and produce a documentary based on one of these to demonstrate how deliberative democracy can work in practice. Among citizens, the project will work to build the sense that ordinary people are involved in making decisions that affect them, and thus to promote trust in Government. Among elected representatives, the project will work to stimulate a greater openness to complementary democratic models in which citizens explore and recommend policy solutions on key issues.

| | |
|--|--|
| The newDemocracy Foundation | UN Democracy Fund (UNDEF) |
| Iain Walker (Executive Director), Project Focal Point | Hannah McGlue, Project Focal Point |
|   |   |
| Luca Belgiorno-Nettis Chairman | Annika Savill Executive Head |

This Agreement is made between the United Nations Democracy Fund, hereinafter referred to as "UNDEF", and "The newDemocracy Foundation (nDF)", hereinafter referred to as "Implementing Agency".

1. PROJECT SUMMARY

Preoccupation with electoral democracy in governments has produced superficial forms of political decision-making that is reactionary to public opinion. This makes it difficult for political leaders to make tough decisions and increases distrust in political institutions throughout the world.

This project will demonstrate both the complementary and supplementary role that deliberative democracy can play in improving trust and empowering leaders to make trusted public decisions.

It will do this first, by producing a handbook for '*Democracy Beyond Elections*', second, by operating demonstration pilot projects throughout the world in different geographic and political contexts, and third, by producing a documentary on one of these projects. These demonstration projects will put in practice the principles of random selection and deliberation outlined in the handbook. They will range from projects in local and regional level governments in countries in South America, Africa, Asia and the South Pacific. They will incorporate local practitioners in a way that develops skills training and institutionalizes the practices internal to each project.

By implementing practical demonstrations of the principles within the handbook, we will both transfer the requisite skills to local practitioners and demonstrate the complementary role these projects can have to local and regional leaders. This will lead to the institutionalization of the principles in the handbook because of the way it improves public trust in decision-making and the clear benefits to political leadership.

In this way, the project systematically develops a sustainable evidence and skills foundation for the long-term implementation of similar projects at a national and international level. This long-term sustainability is further improved by the participation of global networks that contribute to the distribution of the handbook and supporting documentary.

2. CONTEXT AND PROBLEM ANALYSIS

2.1 Democratic Challenges

Elections are declining in trust and the rise in credibility of non-democratic leaders is growing. Democracy must innovate to survive.

Equally, democracy is the master key for most areas of human development: poor/ corrupt government sits as the root cause for many policy issues. Finding a better way to do democracy beyond solely an electoral process which is too easily gamed and leads to inadequate outcomes is important for human development - most acutely in lower income nations.

Everyday people feel governments do things *to* them, not *with* them. That needs to change in order for democracy to deliver social cohesion through solving difficult, shared problems in a way which earns broad public acceptance

2.2 Problem Analysis

1. The problem is that we have lost the ability to make trusted, long term decisions. The problem is cumulative as electoral rewards flow to those promising wish-lists will be fulfilled when government at its core is about trade-offs and limited resources.
2. The underlying cause of this problem is the electioneering imperative. Those in elected office are reported on constantly as if an election were tomorrow thus they espouse 'saleable' ideas rather than considered ones. It is useful to consider any decision-making mechanism through the idea that if you were arrested on a serious crime, by what process would you like a decision to be taken? Most of us would want all the facts considered and for a small sample of people to work studiously and discuss what they learned with one another until they find common ground. We would not clamour to hear people's vox pop sentiments on the street and have decision makers try to copy these phrases in order to appear popular. Yet this is how democratic government is trending.
3. The key justification for the project is (as Kofi Annan has publicly noted)¹ that young people and those in un-free states no longer universally aspire to live in democracy. The sentiment that an authoritarian is acceptable or beneficial in some circumstances is a dangerous idea which must be addressed. Equally, the global practice of spreading democracy most commonly involves replicating a US electoral model when only 9% of US citizens trust those they elect².

¹ See, <<https://www.kofiannanfoundation.org/supporting-democracy-and-elections-with-integrity/athens-democracy-forum/>>

² See, <<https://www.economist.com/democracy-in-america/2017/04/25/why-america-has-a-trust-problem>>

4. We have built a system for making decisions that over-emphasises shallow public opinion and thus those active voices (special interests) who make shrill appeals. Only a mechanism that injects 'outsiders' in a considered way can counteract this.

3. PROJECT STRATEGY

3.1 Project objective

To demonstrate that complementary democratic models are effective, implementable, practical and lead to trusted long-term decisions because of the proven legitimacy, desirability and usefulness of democratic models beyond elections.

3.2 Key approach

We produce the 'Handbook for Democracy Beyond Elections'. The book situates each of the five-core deliberative democratic principles in the varying contexts experienced by political decision makers in order to assist with their practical implementation. This handbook (60-70pg) is used to initiate projects anywhere in the world as it takes a 'good, better, best' approach to geography, literacy, safety, cultural and income variables.

We initiate demonstration projects in three countries. These projects are each situated in different contexts (geographic; development level; government level) and address different policy issues. We document each of these processes with the end goal of producing short documentaries for wide, free distribution. The process designs and operational details are freely available and become an Appendix to the Handbook.

The combination of the success of the demonstration projects, the practicality of the handbook and the visual documentation of each of these processes results in cumulative material to prove the efficacy of the complementary mechanism and its adaptability to many different contexts.

3.3 Geographic scope

The handbook is distributed widely – spreading the fundamental principles globally.

By using contextual elements in the handbook and knowing capable partners for demonstration projects we operate three projects chosen for their continental diversity, differing levels of development and governmental structures – one in the Pacific, one in Africa and one in South America. Governments (local, regional or national) will opt-in to participate.

Potential cities may include El Alto, Bolivia (Infrastructure), Kigali, Rwanda (City Planning and implementation) and Bougainville Island, Papua New Guinea (Constitution building ~ independence).

3.4 Beneficiaries

All members of a community where a demonstration project is being run benefit from better democratic processes. This is direct in the way that communal decisions impact everyone, but also indirect as not every member of the community is hands-on involved in making the decisions. Those who participate in pilot projects (citizens and government employees) will be hands-on beneficiaries and the primary skill recipients in participating, learning and passing on deliberative and critical thinking skills. These will impact demographics reflective of the most accurate census data. Current political leaders will be direct beneficiaries as this process complements their governing structures – it helps leaders lead and provides a long-term skills transfer.

Our aspiration is for the handbook to reach 2000 engagement professionals and politicians – exposure to it will directly benefit them and their constituents.

Beneficiaries

Project 1: El Alto, Bolivia

| Direct beneficiaries | Description | Total Numbers | % of women |
|-----------------------------------|---|----------------------|-------------------|
| <i>Pilot Project Participants</i> | <i>Demographically matched to the census of area Randomly-selected Broad cross-section of the community</i> | 40 | 52% |
| <i>Elected officials</i> | <i>30-60 years old Socio-economic status: middle-high income</i> | 11 | 10% |
| Indirect beneficiaries | Description | Total Numbers | % of women |
| <i>General public</i> | <i>Community members of the municipality Mostly low income and young</i> | 900,000 | 52% |
| <i>Surrounding Municipalities</i> | <i>Communities from surrounding areas benefit from the skills uplift and demonstration</i> | 800,000+ | 50% |

Project 2: Kigali, Rwanda

| Direct beneficiaries | Description | Total Numbers | % of women |
|-----------------------------------|---|----------------------|-------------------|
| <i>Pilot Project Participants</i> | <i>Demographically matched to the census of area Randomly-selected Broad cross-section of the community</i> | 40 | 48% |
| <i>Elected officials</i> | <i>30-60 years old Socio-economic status: middle-high income</i> | 23 | 40% |
| Indirect beneficiaries | Description | Total Numbers | % of women |
| <i>General public</i> | <i>Community members of the municipality Mostly low income and young</i> | 1,000,000 | 48% |

| | | | |
|-----------------------------------|--|----------|-----|
| <i>Surrounding Municipalities</i> | <i>Communities from surrounding areas benefit from the skills uplift and demonstration</i> | 500,000+ | 50% |
|-----------------------------------|--|----------|-----|

Project 3: Autonomous Region of Bougainville, Papua New Guinea

| Direct beneficiaries | Description | Total Numbers | % of women |
|-----------------------------------|---|----------------------|-------------------|
| <i>Pilot Project Participants</i> | <i>Demographically matched to the census of area Randomly-selected Broad cross-section of the community</i> | 40 | 50% |
| <i>Elected officials</i> | <i>30-60 years old Socio-economic status: middle-high income, Representing 3 ethnic groups (X, Y, Z)</i> | 41 | 10% |
| Indirect beneficiaries | Description | Total Numbers | % of women |
| <i>General public</i> | <i>Community members of the municipality Mostly low income and young</i> | 250,000 | 50% |
| <i>Surrounding Municipalities</i> | <i>Communities from surrounding areas benefit from the skills uplift and demonstration</i> | 500,000 | 50% |

4. EXPECTED RESULTS

Outcome 1: Practical skills (a solid operating knowledge of alternative models, how to deliver them, and where to ask for help) of an ecosystem of practitioners, inside and outside government, are enhanced.

Output 1.1. Handbook: Democracy Beyond Elections developed and disseminated.

What: From months 1-8, newDemocracy will work on producing a 60-80pg handbook that provides an overview of the various methods available to practitioners and decision-makers, and the circumstances appropriate for their use. It will explain and focus on *principles* for democratic decision making and show how these can be applied in a variety of different models. It will then move to helping the reader consider circumstances affecting the process design: this will span social and cultural factors, a community's experience with democracy, literacy level, relative controversy of an issue, relative power and concentration of special interests. Having helped to diagnose and quantify the scenario, the document will then map how to deliver a project built on these principles.

newDemocracy will work and coordinate internally to complete the handbook. It will draw on internal experience as well as a network of international practitioners for feedback and input. We will convene a drafting workshop of 10-12 leading deliberative democracy practitioners worldwide to gather input on the Handbook, describing how to assess project viability and how to deliver a democratic design appropriate to the national, social and issue circumstance. Flights will be provided for those travelling internationally to the workshop (6 expected). Final review will be circulated digitally to the participating practitioners and experts.

Why: The handbook will provide a foundation and fundamental 'how to' starting point for potential practitioners and governments seeking to operate their own projects.

Where: The handbook will be distributed globally (digital and print). A public event will take place at UN HQ to launch the Handbook. Focused distribution through local and international practitioner and public sector networks will drive distribution (ie. IAP2).

Follow-up actions: Included with the handbook are contact details for newDemocracy, providing a follow-up and feedback link that allows for continual interaction with prospective project leaders but also the ability to maintain clarity and consistency around the implementation of the advice in the handbook. The handbook will also be translated into a number of languages, initially: French, Spanish, Mandarin, Hindi, Arabic, Russian and Portuguese. It will be printed in all of these languages, including English.

Expected impact: The expectation for the handbook is that it will provide a starting point for a wide range of innovative local and regional governments to consider a pilot or demonstration project in their area.

Measures: we aim to distribute 2000 handbooks and aspire to receive 40x inbound inquiries (noting that a multiple of that number will be able to self-serve a project without further assistance).

Output 1.2. 10 in-person events and 20 webinars to assist with the development of a strong practitioner ecosystem delivered.

What: newDemocracy delivers 60-90 minute seminars (in-person and online) focused on answering practitioner questions. In-person events are in the country and region of the demonstration projects (output 2.1).

How: This is done by working closely with known local community engagement practitioners inside and outside of Government to host events, invite peers and develop a local/regional community of practice for their deliberative facilitation and design skills. We will operate skills workshops and briefings prior to the demonstration projects and then again once they are underway (as a real-world, live, case study). These workshops will cover process design *and* facilitation skills related to operating and managing a diverse group to work deliberatively together in making a near-consensus decision.

Why: Local practitioners are fundamental to the sustainability and institutionalisation of the process. Independent facilitation of group processes is a mandatory element of this style of public decision making. For this reason, having a diverse and well-equipped ecosystem of practitioners improves not only the local or municipal capabilities of replicating pilot projects but the regional potential for replication.

Where: Workshops will be anchored in regions where pilot projects are operating. In addition – online discussions and training sessions will be held on twenty occasions. Recorded webinars can be subtitled into multiple languages and available via YouTube.

Follow-up actions: Skill acquisition will be monitored through the operation of pilot projects. newDemocracy will follow closely in observing and reinforcing how training is put into action. Additionally, newDemocracy will be available to provide on-going materials to support practitioners in the form of advice or comment on project design or delivery.

Expected impact: A strong practitioner ecosystem will enable government to readily draw on local skills for the implementation of future projects. newDemocracy's skill training and development will provide the foundation for this. Webinar attendance and subsequent viewing is a simple metric supporting this.

Outcome 2: Proven and demonstrated example deliberative citizen projects that resonate with elected representatives because the examples come from cultural, social and economic contexts that they can identify with.

Output 2.1. Three Citizens'-Assembly style projects for three different countries delivered.

What: A citizens' assembly project sees a random sample of around 30-40 people given the chance to meet for 30-40 hours to hear from a range of sources on an issue. They are

given ample time to have questions answered and request sources of their choosing. They are asked to find common ground around a set of recommendations, which the government commits to respond to. This process has been tested and refined by newDemocracy through operating similar projects here in Australia.

How: newDemocracy will liaise with potential partners for pilot projects including inbound contact from communication following handbook distribution. There is a preference for a level of local familiarity with the style of facilitation for these initial pilots. newDemocracy will then design, run and provide oversight for each the projects through recruitment, operation and execution.

newDemocracy will liaise with local or regional government to work through the production of necessary briefing materials for the participants as well as pre-negotiating the conditions for the pilot project (namely topic and authority). Stakeholder meetings will be held at the outset of each project. We expect one day of stakeholder meetings to attract 40-50 local stakeholders with a goal of broadening the views and sources considered by the randomly-selected citizens and taking into account any unique local considerations. We will deliver this on the same trip where we brief project facilitators on project delivery.

A consultant (facilitator) will be retained in each country and will take the lead in project implementation under close direction of nDF staff through regular conference calls, checking of runsheets and nDF attendance at pre-planning meeting and three operating days (always including the first meeting). The expected number of days of work is 50 per project.

Project one is envisaged to start in month 7 and run for 6-7 months. Project 2 is envisaged to start in month 12 and run for 6-7 months. Project 3 is envisaged to start in month 16 and run for 6-7 months.

Each individual pilot project will vary, however, there will be broad similarities between projects. For example, a project at the local government level can be completed in 4-5 sessions and may address issues such as budget balancing or service prioritization, while a project at the state government level may address urban planning or infrastructure prioritization and take 5-6 sessions.

Each will have 30-40 randomly selected participants whose selection will be stratified to demographic data pulled from most recent census data. These participants are contacted via a large open invitation process whose acceptance pool is used for the final random draw. They receive pre-reading material, work in-person in small groups, hear from a diversity of sources, deliberate assisted by a skilled facilitator, before finding common ground and completing a report that they write themselves.

Citizens will be encouraged, where appropriate, to share their experiences with the projects with the media.

Why: newDemocracy operates on a policy of 'show don't tell'. Real-world demonstration projects prove the efficacy of a complementary role for everyday people in making trusted public decisions. Operating pilot projects on different topics, in different contexts, all over the globe is the most effective way to teach and demonstrate at the same time.

Where: We will operate 3 citizens' assemblies in locations, though there is a preference for a level of local familiarity with the style of project and facilitation methods. For this reason, a short-list of locations in Bolivia, Rwanda, Mongolia, Malaysia and Papua New Guinea have been chosen where nDF has existing relationships.

Follow-up actions: newDemocracy will provide follow-up oversight of the local and regional impacts of operating the projects from Government responses to advice and advocacy for future projects.

Expected impact: The real-world demonstration of these projects is expected to increase demand for similar projects regionally.

Measures: Measures of success here are simply an increase in future similar projects in proximity to pilot projects, as noted through media monitoring.

Output 2.2. One documentary capturing one of the projects delivered

This will involve a documentary³ maker speaking to government, organisers and - centrally - the citizens involved, so that members of Governments in other nations can gain an understanding of what is involved and ideally see the appeal of undertaking their own project. The documentary will refer to the handbook and how to contact newDemocracy for initial advice.

Why: Clear and well documented footage of pilot projects works in two ways. First, it is a visual aid in demonstrating the 'how-to' aspect of these processes from start to finish. Second, by providing in-person feedback from direct and in-direct beneficiaries of the pilot projects (participants and officials), it spreads to awareness of the effectiveness of these projects.

Where: The documentary will be filmed at one of the pilot project sites and distributed globally (through existing contacts and networks of nDF).

Expected impact: It is expected that documentary will complement further actions aimed at the long-term sustainability and institutionalisation of the pilot programs and process more broadly.

Outcome 3: Increased global uptake of Citizens' Assemblies and the application of deliberative principles/alternative forms of democratic decision-making.

Output 3.1. Campaign for extending the legacy and sustainability of the work undertaken

What: newDemocracy will employ a communication and advocacy strategy that aims to empower local practitioners and network with influential local and regional officials to assist in the long-term sustainability and institutionalization of the process.

³ Documentary costs:

Until we know country details and thus travel costs, this is based on a two-person crew attending four times plus post-production costs and editing into multiple durations. It will be more accurate to update this when the country is known.

How: This will be done by updating and re-releasing a v2 handbook to reflect operational learnings and feedback and connecting it with the documentary (as a learning tool): this will then be circulated by drawing on newDemocracy's existing network. Further speaking engagements and webinars will be targeted locally alongside networking events that aim to link up practitioners with decision-makers.

Why: The most effective demonstration of this democratic process is one that transfers principles and skills into local communities, so they continue to solve difficult political challenges in a way that is both inclusive and innovative.

Where: At each of the pilot projects, newDemocracy will target a similar process of Q&A sessions, handbook distribution and networking events.

Follow-up actions: newDemocracy will maintain regular contact with local practitioners and officials to check-in on the progress with implementing additional projects that build on the initial success of pilot projects.

Expected impact: The expected impact of the communication and advocacy strategy is that we are able to empower local actors with the skills and networks required to get demonstration and follow-up projects off the ground. This aids in spreading knowledge regionally but also at embedding this process of public decision-making institutionally.

5. STRATEGIC CONSIDERATIONS

5.1 Lessons Learned

newDemocracy is a research and development foundation that focuses on learning from demonstration projects (<https://www.newdemocracy.com.au/our-work>). After every project, our Research Committee reflects on what can be learned from that experience. This means we have learned to be adaptable in modifying our process methodology when external circumstances change based on observed citizen behaviours.

We have learned the value of bringing a large coalition of civil society stakeholders in on public decision-making projects at the earliest stage to build trust in the process. This involves including existing political parties from all sides as well as business and community groups.

Additionally, each of our projects are bespoke designs that consider local contexts and advice from communities in which we work.

5.2 Gender strategy

Women are often excluded from political governance structures or face significant cultural and contextual barriers to their participation in decision making. This project both meaningfully includes them in making decisions through direct participation, but – critically – it is the deliberative style of political communication which allows for greater equality of individuals in political discourse. To do this, we introduce group discussion exercises and skills that focus on hearing from different perspectives and the importance of difference in communities. The focus is on discussion, not argument and debate.

By creating political environments that pay acute attention to the needs of women and facilitating political discourse in processes that is inclusive and deliberative, our projects will place an epistemological and visual equality between men and women in making important trusted decisions for their communities.

5.3 Targeting marginalized/vulnerable groups

Specific marginalised and vulnerable groups will differ from project to project. These groups all share an 'outside-ness' to politics and governance structures that is addressed by deliberative democracy projects. They tend not to be in parliaments today but are naturally found through the process of random selection.

The groups are given an equal platform in their direct inclusion as participants in pilot projects in that random selection is stratified by municipal demographics which assists those with lower income and education.

Additionally, the deliberative and critical thinking facilitation style places an emphasis on hearing from everyone and educating them 'on the go' in how to support a position with evidence. These two styles of group decision making have consistently meant that groups seek to hear from all members of communities, apply critical thinking to all the sources they have heard, and seek to reflect the entire community when making their decisions.

5.4 Sustainability

newDemocracy as a Foundation operates on a policy of 'show don't tell' with a view to demonstrating the effective complementary role for everyday people in making public decisions so that others will choose to copy us. The purpose of this approach is to build local ecosystems that are themselves capable of continuing the work demonstrated by a single pilot project. Operating like this domestically means we're naturally inclined to act with a view to sustainability in all of our work.

Working with local practitioners, officials, stakeholders and community groups develops a community wide integration of understanding and investment in the process – this embeds knowledge and support for the project more widely than those directly in contact with a specific pilot.

Additionally, the Handbook is intended to have a long life, and as long as UNDEF remains happy for this product to be known as UNDEF co-funded then NDF and the broader Democracy R&D network will continue to update the content and promote its distribution. This, in conjunction with the Documentary, will be long lasting information sources for follow on project leaders.

In many ways it is UNDEF's statement (via this proposal being funded) that *deliberative democratic models exemplify democratic ideals and values by giving people from all walks of life a substantive role in a public decision that is of the highest value.* The demand to champion this approach already exists: a UNDEF supported document efficiently and effectively catalyses this.

6. RISK MITIGATION

| Description of Risk | Output | Probability (low, medium or high) | Proposed a concrete risk-mitigation measures |
|--|-------------------|-----------------------------------|---|
| <i>Handbook distribution is too limited.</i> | Output 1.1 | Low | <i>Electronic distribution of the Handbook assures that accessibility barriers are low. This combined with utilizing the Democracy R&D networks mean we will be able to share the content widely.</i> |

| | | | |
|---|-----------------------|---------------|--|
| <i>We cannot secure a diversity of demonstration projects.</i> | Output 2.1 | <i>Medium</i> | <i>We make use of our international network through Democracy R&D, UNDEF and Club de Madrid to seek out a wide range of demonstration projects. We increase speaking engagements and media placements.</i> |
| <i>We make a cultural error or incorrectly assess local political factions or tensions.</i> | Output 2.1/3.1 | <i>Low</i> | <i>Project team will incorporate a local team with the required local knowledge. This will draw on former politician connections through the Club de Madrid.</i> |
| <i>Recruitment failure.</i> | Output 2.1 | <i>Medium</i> | <i>Selection will be carried out well in advance in order to allow for slow procedures or misjudgments (thus a second attempt). It will also draw on local knowledge core to project recruitment.</i> |
| <i>Consensus failure.</i> | Output 2.1 | <i>Low</i> | <i>In-room facilitation is supervised and coordinated by the project team to foresee any risk in the group not reaching the required amount of consensus. Option to extend Assembly deliberation time has been proven as an effective mitigation approach.</i> |

7. MANAGEMENT ARRANGEMENTS AND CONTRIBUTIONS

a) Management Arrangements

7.1 Implementing Agency:

The new Democracy Foundation was founded in 2007 by Luca Belgiorno-Nettis whose infrastructure company had had close exposure and interaction with government. The founding Board (continuing to this day) involves the skills of Prof. Lyn Carson who has a 30 year career in deliberative democracy, and Kathy Jones, who founded a firm providing strategic advice to government which is now Australia's largest. The organisation's Executive Director has seven years in this role.

Our philosophy in democratic reform is "show don't tell": practical real-world project trials are the most meaningful tests and contribute the most to adoption of a new way of doing things. We design, deliver and oversight these across 6-10 months in each project. Across over 20 major projects – including for state Premiers on both sides of politics and ranging from a AUD\$5bn 10 year financial plan for the City of Melbourne to the potential for a high-level international nuclear waste storage facility in South Australia.

The Implementing Agency will be locally responsible for all operational and administrative project management decision throughout the life cycle of the project including outreach, the organization of activities, results monitoring, human resources, finance, travel arrangements, local procurement and logistics.

The Implementing Agency will be responsible for contracts with any Implementing Partner(s) or individuals involved in the project. The Implementing Agency will be responsible for managing any financial disbursements to the Implementing Partner(s) or individuals as per implementation arrangements or payment schedules concluded between them. UNDEF does not consider that it has any formal relationship with project partners. All such payment arrangements need to be noted in the project document at the outset of the project.

The Implementing Agency is required to update UNDEF with any changes in their contact details.

7.2 Project personnel:

| Position title | Description of responsibilities |
|--------------------|--|
| Executive Director | Overall supervision of project implementation and project team. Responsible for sign-off, quality assurance and reporting. |

| | |
|-----------------------------------|--|
| Project manager | Overall coordination of project implementation and project team. Responsible for activity planning, quality assurance and reporting. |
| Research coordinator | Overall coordination and supervision of research conducted by the project team. |
| International network coordinator | Overall coordination of international networks and communications. |
| Finance Manager | Overall financial management and oversight of invoicing. |

7.3 Consultants:

| Consultant position | Deliverables | Number Output/ Activity | Number of days worked |
|------------------------------------|--|----------------------------------|-----------------------|
| <i>Lead Facilitation Project 1</i> | <i>Basic project management Participant recruitment Stakeholder management Facilitation delivery</i> | <i>2.1.1 2.1.2 2.1.3</i> | <i>45</i> |
| <i>Lead Facilitation Project 2</i> | <i>Basic project management Participant recruitment Stakeholder management Facilitation delivery</i> | <i>2.1.1 2.1.2 2.1.3</i> | <i>45</i> |
| <i>Lead Facilitation Project 3</i> | <i>Basic project management Participant recruitment Stakeholder management Facilitation delivery</i> | <i>2.1.1 2.1.2 2.1.3</i> | <i>45</i> |
| <i>Graphic Design Consultant</i> | <i>Graphic Design for Handbook</i> | <i>1.1.1</i> | <i>2</i> |
| <i>Editor</i> | <i>External edit of Handbook copy</i> | <i>1.1.3</i> | <i>3</i> |

7.4 Implementing Partners:

N/A

The Implementing Agency has provided UNDEF with written confirmation from the Implementing Partners (Annex VII) stating that the Implementing Partners understand

and concur with the roles and responsibilities allocated to them within the project and agree to assume these roles and responsibilities.

The Implementing Agency will also be responsible for obtaining the signature of each implementing partner on the Legal Commitments (Annex VI). UNDEF reserves the right to object to the selection of implementing partners.

b) Contributions

newDemocracy will absorb any additional activity costs associated with fulfilment of this contract.

We will draw on use of public buildings (council halls etc) at little to no cost.

This project has no funding other than the UNDEF grant.

8. BUDGET

The detailed project budget is attached as Annex III (the Excel budget). Please note that changes to this approved project budget require prior UNDEF approval. Financial reallocations made without prior UNDEF approval will not be accepted, and the funds may have to be reimbursed to UNDEF.

| |
|--|
| <p>Total Project Cost: US \$250,000 M&E Cost: US \$25,000 Total UNDEF Grant: US \$275,000</p> |
|--|

9. MILESTONES AND DISBURSEMENT SCHEDULE

UNDEF will appoint an observer to monitor **project milestones 2 and 3**. This person or entity will bear no responsibility for any aspect of implementation of the project. For this purpose, the Implementing Agency will submit to UNDEF, **two months in advance**, detailed information on the milestone (date, venue, event title, agenda) so that UNDEF can arrange the monitoring visit. The Implementing Agency will do everything possible to assist and cooperate with the UNDEF-appointed observer. There is a statement under the Legal Commitments (**Annex VI**) to this effect.

The grant will be disbursed in three tranches, following the disbursement schedule below. The first tranche of the grant will be disbursed once the project document has been signed. Release of the second and third tranches will be contingent upon:

- The successful completion of the activities set as project milestones 2 and 3, respectively
- The successful monitoring of the above milestones by an UNDEF-designated monitor
- Where indicated, the satisfactory submission of deliverable documents related to the milestone
- The submission of any other documents related to the milestone that UNDEF may request
- The submission of an audited **Financial Utilization Report** to UNDEF, following milestone 2 and 3, by the Implementing Agency (certified by the external independent auditor identified in the project document) and reflecting the amount spent to date.
- **Expenditure of at least 70% of the previous tranche/s**
- Funds will not be released if the project has any **overdue narrative or financial reports** of any kind, or if the project has **failed to follow the UNDEF visibility guidelines** noted in section 10.

Disbursement table

| <u>Milestone</u> | <u>Amount</u> | <u>Date</u> |
|---|---------------|-------------|
| 1) Project document signature | 53,134 US\$ | Month 1 |
| 2) Observation: Completion of Handbook. (output 1.1) Deliverable due: Training manual | 102,127 US\$ | Month 8 |
| 3) Observation: Completion of Project 2. (Output 2.1) Deliverable due: Project 2 Citizens' Assembly Report | 94,739 US\$ | Month 17 |

Monitoring and evaluation costs (10% of total project costs) will be retained by UNDEF. This amount will not be disbursed to the Implementing Agency. The Implementing Agency is not authorized to incur any costs against this amount, unless directed by UNDEF.

It is the Implementing Agency's responsibility to choose carefully the milestone dates and tranche amounts and to ensure that an appropriate amount of money is available to carry out the planned activities between two milestones. Any change in the project schedule

which would affect the milestone dates will be notified to UNDEF as soon as possible and well before the next scheduled milestone, to make it possible to discuss alternatives.

The Implementing Agency has provided complete and correct bank details to UNDEF. The Implementing Agency will inform UNDEF promptly of any changes to its banking details. Failure to do so will cause significant delays in disbursement and might cause funds to be misrouted. The Implementing Agency will be accountable for any delays or misrouted funds due to incorrect banking information provided by the Implementing Agency. If the Implementing Agency designates a non-US dollar bank account, the Implementing Agency will be responsible for absorbing any and all differences resulting from fluctuations in the exchange rate.

10. MONITORING, REPORTING AND EVALUATION

10.1 Monitoring

The Implementing Agency undertakes to monitor all project activities and outputs. The Implementing Agency also commits to monitoring the results, outcomes, outcome indicators, and impacts of the project.

Monitoring will be done in-house. It is specifically metric driven (i.e. download of handbook, recruit numbers, participant feedback). newDemocracy maintains operational detail requirements for facilitation teams that are tailored to the project designs of each project. This means that each project has differing thresholds for activity monitoring. How many stakeholders are attending information sessions, how many RSVPs we have received from project invitations and how participants and governments are responding about each process will all depend on local context.

newDemocracy will maintain monitoring of all of this through regular structured contact between newDemocracy, consultant facilitators and supporting government agencies on weekly catch-up calls.

newDemocracy's on-the-ground presence during key activities will ensure close monitoring at crucial stages of each project.

There are two clear evaluation metrics for each project. These are that; first, the government responds to and acts on the recommendations provided to them by the participants; second, that the participants stand behind the report they ultimately write. If any project experiences flaws in delivery, elected representatives will not act and participants will not support it – this is the critical quality control marker.

10.2 Narrative and Financial Reporting

It is the Implementing Agency's responsibility to meet all UNDEF reporting requirements. The Implementing Agency will submit a Mid-Term Progress Report, a Final Narrative Report, audited financial reports, and other reports as may be notified by UNDEF. These reports will be in the required UNDEF template, either in English or French, the official

working languages of the UN Secretariat. The Implementing Agency is responsible for reading and following UNDEF's Monitoring and Reporting Guidelines, available on UNDEF's website.

| Report Title | Prepared By | Submitted By/To | Deadline |
|---|---|---|--|
| Milestone Verification Report | UNDEF-appointed observer | By UNDEF-appointed observer to UNDEF | Following attendance of milestone activity |
| Milestone Financial Utilization Report (FUR) | Implementing agency (certified by the designated external auditor) | <u>By the Auditor</u> to UNDEF | Completion of each Milestone (#2 and #3) |
| Mid-term Progress Report | Implementing agency | By Implementing agency to UNDEF | 13 months after Project Start Date |
| Final Narrative Report | Implementing agency | By Implementing agency to UNDEF | 1 month after project end |
| Final Financial Utilization Report (FFUR) as part of a <u>Complete Final Project Audit Report</u> | Implementing agency (designated external auditor) | <u>By the Auditor</u> to UNDEF | 3 months after project end |
| Evaluation Report | Independent entity, or as decided by UNDEF in consultation with Implementing agency | By Independent entity to UNDEF, or as decided by UNDEF in consultation with Implementing agency | After submission of Final Narrative Report |

10.3 Milestone Financial Utilization Report

The external, independent entity responsible for the audit and certification of financial reports, and the complete final project audit report is *Pitcher Partners*.

In case the Implementing Agency needs to change the designated auditor, the Implementing Agency must consult with UNDEF, and upon UNDEF's approval submit a new Auditor's Letter (Annex V) to UNDEF. UNDEF may request the Implementing Agency to select a different external independent auditor if deemed necessary.

A total of three (3) certified financial utilization reports will be submitted to UNDEF. All reports will be submitted in the required UNDEF template. The financial reports will reflect the cumulative amount spent to date. The designated independent auditor shall review and certify the expenditures against the agreed budget and the cumulative disbursed amounts from UNDEF. **The Implementing Agency shall arrange that the designated auditor sends the certified financial utilization reports directly to UNDEF.**

Within two weeks after milestone 2 and milestone 3, the Implementing Agency will submit a draft financial report to UNDEF for review and approval. Once approved, the auditor of the implementing agency must certify and send the report to UNDEF.

At the end of the project, the auditor of the Implementing Agency will submit a **full audit report** (detailing audit findings and recommendations) of the project along with the certified final financial utilization report.

Certification costs for the three required audits are included in the project budget.

10.4 Evaluation

UNDEF is responsible for devising the final project evaluation modality and will inform the Implementing Agency if a project evaluation is to be conducted. The Implementing Agency is required to take all necessary measures to facilitate evaluation as and when required by UNDEF or its designated third party. Should an evaluation be conducted, the final evaluation report will be published on the UNDEF website.

10% of the total grant amount (up to a maximum of US\$ 25,000) will be retained by UNDEF to pay for external monitoring and evaluation costs. **This amount will not be disbursed to the Implementing Agency.**

The Implementing Agency will be contacted by UNDEF twelve months after the project's completion date to provide information about the status of project related activities and impact after the closure of the project.

10.5 UNDEF Visibility Guidelines

The Implementing Agency commits to featuring the project and naming UNDEF as a donor in all outreach materials associated with the UNDEF-funded project, including banners, signs, written materials and publications, as well as on its website.

To conform to UNDEF visibility requirements, the implementing agency will post an announcement on its website home page at the beginning of the project stating that implementing agency has launched a new project funded by The United Nations Democracy Fund. The announcement should include a brief description of the project which:

- is posted prominently on a page easy to find (such as under "Donors" or "Projects" or "Programmes")
- features a brief summary of one or two paragraphs describing the project, not just the name of the project;

- includes the UNDEF logo (please always use UNDEF's bilingual English-French logo);
- includes a photograph of a group activity, the project team or a scene related to the project theme/location of the project.

All material prepared by the project might be used by UNDEF for the purpose of supporting the development of new initiatives. The implementing agency agrees that project material might be posted on the UNDEF website as examples.

11. LEGAL COMMITMENTS

The legal commitments outlined in Annex VI are an integral part of this project document binding the signatory Implementing Agency and its Implementing Partners. **These legal commitments cannot be modified.**

ANNEX I: RESULTS FRAMEWORK - attached

ANNEX II: WORK PLAN – attached

ANNEX III: PROJECT BUDGET – attached

ANNEX IV: CONTACT INFORMATION - attached

ANNEX V: AUDITOR'S LETTER – attached

ANNEX VI: LEGAL COMMITMENTS FOR IMPLEMENTING AGENCIES – attached

ANNEX VI: IMPLEMENTING PARTNER - LEGAL COMMITMENTS – N/A

ANNEX VII: IMPLEMENTING PARTNER AGREEMENT LETTER – N/A

Twelfth Funding Round

ANNEX I
RESULTS FRAMEWORK

| | | |
|---|--|---|
| Outcome 1: Practical skills (a solid operating knowledge of alternative models, how to deliver them, and where to ask for help) of an ecosystem of practitioners, inside and outside government, are enhanced. | | |
| Target Indicator 1.1: Distribution (50 countries), downloads (1000) and reach (.gov and .com url mix) of the Handbook of Methods for Democracy Beyond Elections. | Baseline Indicator: There are currently no downloads of the Handbook. | Method of verification: Data on downloads. |
| Target Indicator 1.2: Number of governments (30) with websites and communities of practice (20) having Handbook posted for download and advocating distribution. | Baseline Indicator: There are currently no governments with websites and communities of practice having the Handbook posted for download or advocating distribution. | Method of verification: Monitoring the spread of the Handbook through the international network, Democracy R&D. |
| Outcome 2: Proven and demonstrated example deliberative citizen projects that resonate with elected representatives because the examples come from cultural, social and economic contexts that they can identify with. | | |
| Target Indicator 2.1: Number of media mentions of project announcements and activities (30) (i.e. it will be comparatively easy to count projects). | Baseline Indicator: There are no Media mentions of project announcements and activities. (i.e. it will be comparatively easy to count projects) | Method of verification: Presence of media mentions. |
| Target Indicator 2.2: Number of Government responses (1 per project; 10+ pages) to citizen written recommendation reports that result from competition of projects. | Baseline Indicator: There are currently no government responses to direct citizen written recommendation reports. | Method of verification: Published government responses. |
| Target Indicator 2.3: Target of 10+ projects in different countries directly linked to this initiative. | Baseline Indicator: There are currently no projects in different countries linked to the initiative. | Method of verification: Linked projects beginning. |

| | | |
|---|--|---|
| | | |
| Target Indicator 2.4: Citizens' Assembly participant retention (>90%). | Baseline Indicator: Does not exist. | Method of verification: Count of participant at end of project. |
| Outcome 3: Increased global uptake of Citizens' Assemblies and the application of deliberative principles/alternative forms of democratic decision-making. | | |
| Target Indicator 3.1: By the end of the project, at least one similar demonstration project is announced which draws on the handbook and pilot projects we have operated. | Baseline Indicator: There are no other project trials. | Method of verification: Linked projects are announced and underway. |
| Target Indicator 3.2: Other government, university and think-tank publications that reference existence and content of the Handbook (15). | Baseline Indicator: There are no current mentions or references. | Method of verification: Count of references or mentions in published content. |

ANNEX II
WORK PLAN

| Outputs | Key Activities | Timeframe (2 years – 24 months) | | | | | | | | | | | | Monitoring |
|--|---|------------------------------------|---|---|---|----|----|----|----|----|----|----|----|--|
| | | 1 | 3 | 5 | 7 | 9 | 11 | 13 | 15 | 17 | 19 | 21 | 23 | |
| | | 2 | 4 | 6 | 8 | 10 | 12 | 14 | 16 | 18 | 20 | 22 | 24 | |
| Outputs for Outcome 1 | | | | | | | | | | | | | | |
| 1.1 Handbook: Democracy Beyond Elections | 1.1.1 Design format and content of handbook. | x | | | | | | | | | | | | ✓ Contents page and framework content. |
| | 1.1.2 Complete the writing of the handbook. | | x | | | | | | | | | | | ✓ Draft. |
| | 1.1.3 Complete internal editing and external review and graphic design of handbook content. | | | x | | | | | | | | | | ✓ Final copy. |
| | 1.1.4 Translate Handbook into international languages | | | x | | | | | | | | | | ✓ Final translations |
| | 1.1.5 Publish and distribute Handbook digitally. | | | | x | | | | | | | | | ✓ Digital distribution |
| 1.2. Deliver 10 in-person event and 20 webinars to assist the development of a strong practitioner ecosystem. | 1.2.1 Complete seminar and webinar plans. | | | | | x | x | | | | | | | ✓ Plans |
| | 1.2.2 Host 20 online webinars. | | | | x | | | x | x | x | x | x | x | ✓ Recordings of webinars |
| | 1.2.3 Host 10 in-person practitioner seminars. | | | | x | | x | | x | | x | | | ✓ In-person feedback forms |

Outputs for Outcome 2

2.1. Delivery of three Citizen's-Assembly style projects for three different countries.

| | | | | | | | | | | | | | | |
|---|--|--|---|---|---|---|---|---|---|--|--|--|--|--|
| 2.1.1 Confirm three distinct sites for pilot projects. | | | | x | | x | | x | | | | | | Project confirmation contracts. |
| 2.1.2 Liaise with key stakeholders from local governments and communities to ensure participation in program. | | | x | x | x | x | x | x | | | | | | Stakeholder reference groups and project design completed. |
| 2.1.3 Commence Project 1 (confirmation of project, facilitation contracted) | | | | x | | | | | | | | | | Project confirmation contracts |
| 2.1.3 Complete Recruitment and Preparation (process design, information kits) for Project 1 | | | | x | x | | | | | | | | | Assembly confirmation and prereading materials |
| 2.1.3 Complete Operation of Project 1 | | | | | x | x | x | | | | | | | Final report |
| 2.1.4 Commence Project 2 (confirmation of project, facilitation contracted). | | | | | | x | x | | | | | | | Project confirmation contracts |
| 2.1.4 Complete Recruitment and Preparation (process design, information kits) for Project 2 | | | | | | x | x | | | | | | | Assembly confirmation and prereading materials |
| 2.1.4 Complete Operation of Project 2 | | | | | | | x | x | x | | | | | Final report |
| 2.1.5 Commence Project 3 (confirmation of project, facilitation contracted). | | | | | | | | x | | | | | | Project confirmation contracts |
| 2.1.5 Complete Recruitment and Preparation (process design, information kits) for Project 3 | | | | | | | | x | x | | | | | Assembly confirmation and prereading materials |

| | | | | | | | | | | | | | | | |
|--|--|---|---|---|---|---|---|---|---|---|---|---|---|---|--|
| | 2.1.5 Complete Operation of Project 3 | | | | | | | | | | x | x | x | | Final report |
| 2.2. Delivery of Documentary. | 2.2.1 Contract and confirm director/producer. | x | x | | | | | | | | | | | | Contract. |
| | 2.2.2 Confirm pilot project that will be the subject of the documentary. | | | | x | x | | | | | | | | | Site confirmation. |
| | 2.2.3 Film pilot project. | | | | | | x | x | x | x | x | x | | | Draft footage. |
| | 2.2.4 Compile footage and complete documentary. | | | | | | | | | | | x | x | x | Complete documentary. |
| | 2.2.5 Publish and distribute documentary. | | | | | | | | | | | | | x | Distribution. |
| Outputs for Outcome 3 | | | | | | | | | | | | | | | |
| 3.1. Campaign for extending the legacy and sustainability of the work. | 3.1.1 Create linkages local government and key stakeholders and community groups. | x | x | x | x | x | x | | | | | | | | Pilot project preliminary conversations. |
| | 3.1.2 Develop contacts with local practitioners. | | x | x | x | x | x | | | | | | | | International network of practitioners. |
| | 3.1.3 Conduct Q&A sessions, seminars and public consultation sessions. | | | | | | | | | x | x | x | x | x | Footage of sessions and online webinars. |
| | 3.1.4 Distribute documentary and Handbook locally | | | | | x | | | | | | | | x | Distribution stats. |
| | 3.1.5 Conduct ongoing communications with newDemocracy and anyone in contact to advise, provide remote oversight and assistance for future projects. | | | | | x | x | x | x | x | x | x | x | x | On-going communication. |

| 1.1 | | Critical Review - leading deliberative practitioners | | | | | | | | |
|-----|-----|--|-------|--------------------|------|--------|--------|--------|--------|--------|
| | | <i>Airfares (averaged – international economy from US/Aus/Can to Europe) - 6 pax</i> | 1500 | <i>people</i> | 6 | 9,000 | 9,000 | | 9,000 | |
| | | <i>Accommodation (3 nights per/pp) - 6 pax</i> | 500 | <i>people</i> | 6 | 3,000 | 3,000 | | 3,000 | |
| | | <i>Incidental expenses (10pax: @ \$75 per for local transport)- 6x int'l + 4</i> | 75 | <i>people</i> | 10 | 750 | 750 | | 750 | |
| | | Subtotal: | | | | 12,750 | 12,750 | | 12,750 | |
| | | Section 4 - Total: | | | | 49,490 | 19,620 | 16,120 | 13,750 | 49,490 |
| 5- | | Contractual Services | | | | | | | | |
| 1.1 | | Translation services | | | | | | | | |
| | | <i>Translation into French</i> | 0.13 | <i>word</i> | 5000 | 650 | 650 | | 650 | |
| | | <i>Translation into Spanish</i> | 0.13 | <i>word</i> | 5000 | 650 | 650 | | 650 | |
| | | <i>Translation into Arabic</i> | 0.14 | <i>word</i> | 5000 | 700 | 700 | | 700 | |
| | | <i>Translation into Russia</i> | 0.14 | <i>word</i> | 5000 | 700 | 700 | | 700 | |
| | | <i>Translation into Mandarin</i> | 0.13 | <i>word</i> | 5000 | 650 | 650 | | 650 | |
| | | <i>Translation into Portuguese</i> | 0.14 | <i>word</i> | 5000 | 700 | 700 | | 700 | |
| | | <i>Translation into Hindi</i> | 0.14 | <i>word</i> | 5000 | 700 | 700 | | 700 | |
| | 2.2 | Documentary Production | 35000 | <i>documentary</i> | 1 | 35,000 | | 17,500 | 17,500 | 35,000 |
| | | Section 5 - Total: | | | | 39,750 | 4,750 | 17,500 | 17,500 | 39,750 |

| 6- General operating and other direct costs | | | | | | | | | | |
|---|--|------|-------------|-------|---------|--------|---------|--------|---------|--|
| a) Venue Hire, Meals during event, Refreshment and other activity-based related costs | | | | | | | | | | |
| 2.1 | Stakeholder information meetings | | | | | | | | | |
| | Venue hire (1 day of 3-4 sessions per project) | 100 | venue | 3 | 300 | 300 | | | 300 | |
| | Basic catering (tea and coffee x 3 projects x 50pax per.) | 5 | participant | 150 | 750 | 750 | | | 750 | |
| 2.1 | Citizens' Assembly Operations | | | | | | | | | |
| | Meals during meetings for 50 citizens (3 juries x 50pax x 5 days = 750 meal days) | 10 | person | 750 | 7,500 | | 3,750 | 3,750 | 7,500 | |
| | Invitation print and postage (3k/7k/10k on 3 projects of differing size) | 1 | invite | 20000 | 20,000 | | 10,000 | 10,000 | 20,000 | |
| | Database access (for residential address sample) | 500 | database | 3 | 1,500 | | 750 | 750 | 1,500 | |
| | Printing of materials | 2000 | project | 3 | 6,000 | | 3,000 | 3,000 | 6,000 | |
| | Printing of information kits | 5 | booklet | 150 | 750 | | 375 | 375 | 750 | |
| | Venue hire (inc. AV hire) (project contract for 5-6 meetings with mics, screen and AV support). | 4000 | venue | 3 | 12,000 | | 6,000 | 6,000 | 12,000 | |
| 1.1 | Drafting Workshop - Critical Review Session | | | | | | | | | |
| | Venue hire | 750 | venue | 1 | 750 | 750 | | | 750 | |
| | Catering (2 days, lunches and dinners in European city) | 150 | participant | 10 | 1,500 | 1,500 | | | 1,500 | |
| 1.1/1.2 | Printing 1500 Handbooks (Avg. 200x in 8 languages) | | | | | | | | | |
| | | 4000 | printrun | 1 | 4,000 | 4,000 | | | 4,000 | |
| 1.2 | Twenty Webinar Sessions | | | | | | | | | |
| | Zoom meeting subscription (100 person meeting) | 21 | month | 8 | 168 | | 168 | | 168 | |
| 1.2 | Ten in-person training events | | | | | | | | | |
| | Venue Hire (basic room only) | 100 | venue | 10 | 1,000 | 500 | 500 | | 1,000 | |
| | Basic tea/coffee service during event (\$5pp x 10 events x 20pax per) | 5 | participant | 200 | 1,000 | 500 | 500 | | 1,000 | |
| | Subtotal 6a | | | | 57,218 | 8,300 | 25,043 | 23,875 | 57,218 | |
| b) Rent and office related costs | | | | | | | | | | |
| | Subtotal 6b: | | | | 0 | 0 | 0 | 0 | 0 | |
| c) Audit | | | | | | | | | | |
| All | 2 financial Report Certifications during project lifecycle + End of Project Audit Report) | 2500 | Fixed Rate | 1 | 2,500 | | 1,250 | 1,250 | 2,500 | |
| | Subtotal 6c: | | | | 2,500 | 0 | 1,250 | 1,250 | 2,500 | |
| d) Miscellaneous | | | | | | | | | | |
| All | Bank fees on transfers from UN | 50 | transfer | 3 | 150 | | | 150 | 150 | |
| | Subtotal 6d: | | | | 150 | 0 | 0 | 150 | 150 | |
| | Section 6 - Total: | | | | 59,868 | 8,300 | 26,293 | 25,275 | 59,868 | |
| 7- Transfers & Grants to Implementing Partners | | | | | | | | | | |
| a) Grants to local partner organizations | | | | | | | | | | |
| | Subtotal: | | | | | | | | 0 | |
| 132 | b) Grants out to participants | | | | | | | | | |
| 2.1 | Reimbursements for participants (3 projects x 50 people x \$100 per person per project on average) | 100 | person | 150 | 15,000 | | 7,500 | 7,500 | 15,000 | |
| | Subtotal: | | | | 15,000 | | 7,500 | 7,500 | 15,000 | |
| 136 | Section 7 - Total: | | | | 15,000 | | 7,500 | 7,500 | 15,000 | |
| TOTAL PROJECT COSTS | | | | | | | | | | |
| | | | | | 250,000 | 53,134 | 102,127 | 94,739 | 250,000 | |
| 8- Programme Support Costs | | | | | | | | | | |
| | UNDEF M&E 10% | | | | 25,000 | | | | | |
| TOTAL UNDEF GRANT AWARD | | | | | | | | | | |
| | | | | | 275,000 | | | | | |

* Totals from budget by Input and per Year need to be the same; Amounts should be rounded off to the nearest dollar. Please note green, pink and yellow cells are formulas and should not be altered.

ANNEX IV
CONTACT INFORMATION

| | |
|---|--|
| <u>Implementing Agency</u> | |
| <u>Name of Organization:</u> | The newDemocracy Foundation |
| Address: | Lvl 1, Lot 3, Pier 8/9 23 Hickson Rd, Walsh Bay NSW 2000 Australia |
| Telephone/Fax: | +61 412 544 116 |
| Web Site: | www.newdemocracy.com.au |
| <u>Point of contact:</u> | <i>Iain Walker – Executive Director</i> |
| Telephone/Fax: | +61 412 544 116 |
| Email: | Iain.walker@newdemocracy.com.au |
| Skype ID: | <i>Iain.walker99</i> |
| <u>Alternate point of contact</u> | <i>Kyle Redman</i> |
| Telephone/Fax: | +61 417 468 350 |
| Email | Kyle.redman@newdemocracy.com.au |
| Skype ID | kyle.redman2 |
| <u>Implementing Partner(s) (if applicable)</u> | |
| N/A | |
| <u>Name of Organization:</u> | |
| Address: | |
| Telephone/Fax: | |
| Web Site: | |
| <u>Point of Contact:</u> | |
| Telephone/Fax: | |
| Email: | |



PITCHER PARTNERS
ACCOUNTANTS • AUDITORS • ADVISORS

Level 22 MLC Centre
19 Martin Place
Sydney NSW 2000
Australia

Postal Address:
GPO Box 1615
Sydney NSW 2001
Australia

Tel: +61 2 9221 2099
Fax: +61 2 9223 1762

www.pitcher.com.au
sydneypartners@pitcher.com.au

Pitcher Partners is an association of independent firms.
Melbourne | Sydney | Perth | Adelaide | Brisbane | Newcastle

10 August 2018

United Nations Democracy Fund
One United Nations Plaza, DC1-1300
New York
NY, 10017
USA

RE: DEMOCRACY BEYOND ELECTIONS - PROJECT NUMBER UDF-17-739-GLO

This is to certify that UNDEF grant recipient, **The newDemocracy Foundation**, has internal controls and financial systems in place that are generally adequate to control the receipts and disbursement of project funds and to report on the use and status of these funds. The recipient also appears capable of satisfactorily implementing the project, monitoring the performance and reporting on project activities and results.

Yours sincerely,

Carl Millington
Partner | Business Advisory & Assurance | Consulting & Risk Services

Pitcher Partners Sydney
GPO Box 1615, Sydney NSW 2001 | www.pitcher.com.au
Level 22 MLC Centre, 19 Martin Place, Sydney NSW 2000
T: +61 2 9228 2249 | M: +61 400 104 678 | E: carl.millington@pitcher.com.au

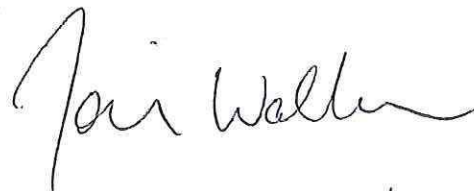
ANNEX VI
LEGAL COMMITMENTS FOR IMPLEMENTING AGENCIES

Signature of this project document commits all parties to abide by the following:

- a. As per ECOSOC Resolution 1996/31 on consultative relationship, as well as the UNDPI criteria for associated NGOs, the aims and purposes of all Implementing Agencies are in conformity with the spirit, purposes and principles of the Charter of the UN.
- b. The Implementing Agency agrees to undertake best efforts to ensure that none of the funds received from UNDEF are used to provide support to individuals or entities associated with terrorism and that the recipient of any amounts provided by UNDEF do not appear on the list maintained by the UN Security Council Committee established pursuant to Security Council Resolution 1267 (1999) and that this undertaking form part of any and all sub-contracts entered into by the grantee.
- c. The Implementing Agency does not intend to and will not provide any type of support for any member, affiliate or representative of an organization that recommends or condones the use of violent means in political action in general and of terrorism in all its forms and manifestations in particular, as stated in the 2005 World Summit Outcome document (§81).
- d. Additionally, the Implementing Agency represents and warrants that it is not an entity engaged in:
 - i. any practice inconsistent with the rights set forth in the Convention on the Rights of the Child, including Article 32 which requires that a child shall be protected from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral, or social development;
 - ii. the sale or manufacture of anti-personnel mines or components utilized in the manufacture of anti-personnel mines; and
 - iii. sexual exploitation or abuse of anyone by its employees or any other persons engaged and/or controlled by the Implementing Agency to perform any services for the project.
- e. All implementing agencies to this project are duly constituted nationally or internationally and where applicable, comply with existing national legislation regarding formal registration, incorporation. For the avoidance of doubt, the Implementing Agency confirms that it is in compliance with all applicable national and local legislation.
- f. All implementing agencies to this project have statutes or by-laws providing for a transparent process of decision-making, election of officers and members of the Board, and the Implementing Agency has authority to speak for its members through its authorized representatives identified in this project document.
- g. The Implementing Agency agrees to be responsible for the overall management of the project and will bear all financial and reporting responsibilities to UNDEF as per the UNDEF Monitoring and Reporting Guidelines. The Implementing Agency also agrees to be responsible for contracts and implementation arrangements with any implementing partners or individuals involved in the project. The Implementing Agency is responsible for its staff, personnel and contractors performing functions for the project, including supervision, welfare and security, throughout the life cycle of the project and beyond, in accordance with its own rules and policies. UNDEF does not, by financial or other assistance to the Implementing Agency pursuant to this project document, accept any responsibility for errors, negligence, mismanagement, debts or any liability whatsoever incurred by the Implementing Agency or any other person, group, or agent associated with it.
- h. The Implementing Agency agrees to take all necessary measures to facilitate monitoring and evaluation as and when required by UNDEF or a third party on its behalf.
- i. The Implementing Agency agrees that UNDEF will appoint an agent of their choosing who amongst other things will observe and report progress on the passing of milestones and who will not be held responsible for any aspect of the project.
- j. All funds will be transferred from UNDEF to the Implementing Agency in US Dollars. Any onward payments by the Implementing Agency made in currencies other than US Dollars will be determined

by applying the rate of exchange in effect on the date of payment. Should there be a change in the rate of exchange prior to the full realization of the project, which may affect the ability to carry out project activities, the Implementing Agency will be expected to adjust project design so as to stay within available resources.

- k. All financial accounts and statements shall be expressed in US Dollars.
- l. Changes to the approved project budget require prior UNDEF approval. Financial reallocations made without prior UNDEF approval will not be accepted, and the funds may have to be reimbursed to UNDEF.
- m. Any interest income attributable to the utilized portion of the grant will be credited to the project account and can be re-invested in the project.
- n. The Implementing Agency agrees to return the remaining balance of funds, if greater than USD 1,000 to UNDEF upon completion of the project. Any remaining balance less than USD 1,000 may be used by the Implementing Agency for purposes similar to the present project.
- o. The Implementing Agency agrees to obtain authorization from UNDEF prior to making changes to the project activities and outputs. Should the Implementing Agency fail to do so, funds remitted for said activities and outputs may have to be returned to UNDEF. Similarly, if the Implementing Agency fails to complete project activities and outputs, funds remitted for such may have to be returned to UNDEF.
- p. The Implementing Agency agrees to provide financial expenditure reports and certified financial statements as per the UNDEF Monitoring and Reporting Guidelines available on the UNDEF website.
- q. Receipts and justification documents for project expenditures must be kept and made readily available in case of any audits.
- r. Assets approved by UNDEF and purchased by the Implementing Agency under this project do not fall under the financial or managerial control of UNDEF at any stage of the project. UNDEF is not involved in their acquisition, in decisions concerning access, or in the assumption of risks associated with these assets. Consequently, the Implementing Agency is responsible for all financial and managerial control and accountability of these assets throughout the life cycle of the project and beyond, in accordance with its own rules.
- s. UNDEF reserves the right to terminate this project should, in UNDEF's view, circumstances so require. Upon termination, no further funds will be disbursed.
- t. The United Nations reserves the right to conduct audits and investigations concerning any aspect of the Agreement and the implementation thereof. The Implementing Agency shall provide its full and timely cooperation with any such audits and inspections.
- u. The Parties shall use their best efforts to amicably settle any dispute, controversy, or claim arising out of the Agreement or the breach, termination, or invalidity thereof.
- v. Nothing in or relating to the Agreement shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations, including its subsidiary organs.



August 27th 2018

IAIN WALKER - EXECUTIVE DIRECTOR

UNDEF