

The Women's Peace and Humanitarian Fund (WPHF)

Operations Manual

April 2023

This Operations Manual describes the rules and procedures applicable to the Women's Peace and Humanitarian Fund. It describes its governance structure and decision-making processes at global and country level, and details the processes involved in the allocation of WPHF resources as well as the design, approval and monitoring of projects. It also defines the format of the Fund's results framework, risk management strategy and provides relevant templates.

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1. Purpose and Added Value of the WPHF

Since 2000 and the adoption of Security Council resolution 1325, remarkable normative progress has been made at the global, regional and national levels to further advance and operationalize the women, peace and security (WPS) agenda.¹ There is also increasing recognition that placing women's agency at the center of the transition from crisis to sustainable development offers enormous potential for leveraging transformative change.² The Secretary-General's 2015 Report to the Security Council on Women and Peace and Security confirms that the capacity of countries to prevent violence, negotiate peace, boost economic recovery and protect populations hinges on women's participation. Women's meaningful participation in peace and security increases by 50 per cent the likelihood that peace will be sustained.³ Women can play a critical role in conflict prevention by creating early warning networks (including for violent extremism and radicalization), and bridging divides across communities. Research shows that women can greatly facilitate mediation efforts and peace negotiations by opening new avenues for dialogue between different factions. Furthermore, women's active participation in economic re-vitalization makes peacebuilding and recovery efforts more sustainable, as women are more likely to invest their income in family and community welfare.⁴ Similarly, recent evaluations and mounting good practices demonstrate that security and justice sector reforms are more likely to respond to the diverse needs of a post-conflict society and address effectively grievances if security and justice institutions are representative of the societies that they serve.⁵

Despite recognition of the benefits that investing in women brings to improving conflict prevention, conflict resolution, protection, humanitarian action and peace consolidation efforts, their contribution continues to be undervalued, under-utilized and under-resourced. In 2012-2013 only 2 per cent of aid to the peace and security sector targeted gender equality as a principal objective.⁶ Similarly, in 2014, only 20 per cent of humanitarian projects were coded as making a significant contribution to gender equality, while 65 per cent of funding reported through UN OCHA's Financial Tracking Service (FTS) simply did not use the gender marker introduced five years ago. Further, humanitarian, peace and security and development assistance continue to operate in silos. Each have different aims, follow different principles, operate over different spatial and temporal scales and are aligned with different budget lines and rules managed by different actors.⁷ A recent study by CARE on women's leadership during the COVID pandemic also indicates that humanitarian response is neither localized nor woman-led with less than 0.1% of funding being committed to local organizations⁸.

To address the financing gaps and create greater synergies between different sources of finance to meet the needs of women across the humanitarian-development divide, a Women, Peace and Security Financing Discussion Group (FDG) was established in June 2014. Composed of representatives from donors, conflict-affected Member States, United Nations entities and civil society, it recognized the urgent need to prioritize action and established the United Nations Women's Peace and

¹See: S/RES/1325 (2000), S/RES/1820 (2008), S/RES/1888 (2009), S/RES/1889 (2009), S/RES/1960 (2010), S/RES/2106 (2013), and S/RES/2122 (2013).

² UN Women, *In Pursuit of Justice: Progress of the World's Women (2011-2012)*

³High Level Panel on Peacebuilding Architecture (2015).

⁴Justino, Patricia. "Women Working for Recovery: The Impact of Female Employment on Family and Community Welfare after Conflict." *UN Women Sourcebook on Women, Peace and Security*. New York. October 2012.

⁵UN Integrated Technical Guidance Note on Gender-Responsive SSR. November 2012

⁶ OECD-DAC Gender Equality Network. "Financing Security Council resolution 1325 (2000)." March 2015

⁷ Visioning the Future: Reporting the findings of the Future of Humanitarian Financing initiative and dialogue processes (2015).

⁸ Where are the Women? The Absence of Women in COVID-19 Response. https://www.care-international.org/files/files/CARE_COVID-19-womens-leadership-report_June-2020.pdf

Humanitarian Fund⁹ - a global pooled funding mechanism which aims to re-energize action and stimulate a significant shift in the financing of the women's participation, leadership and empowerment in humanitarian response, and peace and security settings. The WPHF is a flexible and rapid financing mechanism. It supports quality interventions designed by civil society organizations to enhance capacities to prevent conflict, respond to crises and emergencies, and seize key peacebuilding opportunities. Sustainability and national ownership are key principles of investments.

The WPHF has the following three main functions:

- **Breaking silos between humanitarian, peace, security and development finance** by investing in enhancing women's engagement, leadership and empowerment across all phases of the crisis, peace and security, and development contiguum.
- **Addressing structural funding gaps for women's participation** in key phases of the crisis, peace and security, and development contiguum by improving the timeliness, predictability and flexibility of international assistance.
- **Improving policy coherence and coordination** by complementing existing financing instruments and promoting synergies across all actors: multi-lateral and bilateral entities, national governments' women's machineries; and local civil society organizations.

The WPHF complements and co-finances strategic interventions with other financing instruments, such as supporting the implementation of a country's National Action Plan on WPS, or co-financing with the Peacebuilding Fund (PBF). In order to ensure complementarity with the PBF, the WPHF will only support peace and security interventions by civil society organizations or in support of civil society organizations. In humanitarian settings, the WPHF will complement existing humanitarian financing instruments by investing in local women's organizations to ensure that women's needs are incorporated into the humanitarian response, in particular in the planning phase, and that localization is ensured by leveraging their expertise, access and legitimacy on the ground.

2. Funding Mechanisms of the WPHF

In accordance with its Terms of Reference, the WPHF main channel of support is through a country-based allocation of at least \$2 million per eligible country. Initial investments of \$1 million will be accepted but the Funding Board will work towards matching the contribution to reach the \$2 million target. Under the WPHF Emergency track procedure, allocations of less than \$1 million can be accepted for an initial and fast response (phase 1) pending additional funding is available to reach over 1 or 2 million USD (See Section 2.1). Country-based allocations are made by the global Funding Board based on a clear rationale and added value of the WPHF, as well as a concrete contribution to a limited number of outcomes in the WPHF's results framework. The totality of WPHF funds will be allocated to or in support of civil society organizations.

Under its regular funding stream, responsibility to manage the WPHF allocation, including project-level approval is delegated to a national level steering mechanism at country level. In most countries, the national-level steering mechanism will be an inclusive multi-stakeholder platform between the government, UN and civil society. In exceptional cases to enable the WPHF to intervene in a preventive manner, the Funding Board may delegate responsibilities to manage the WPHF country allocation to the Resident Coordinator. For the humanitarian response, the WPHF country allocation is managed by the Humanitarian Coordinator.

⁹ Formerly the Global Acceleration Instrument on Women, Peace and Security and Humanitarian Action

In regions facing similar conflict-related or humanitarian challenges, the Funding Board might also decide on multi-country allocations. Such allocations will only be made if a coordinated steering mechanism exists or can feasibly be created. In exceptional cases, the Funding Board may authorize multi-country funding to be allocated to one target country if the latter can present a clear plan for coordination with other target countries. In the case of multi-country allocations involving a large number of countries (more than two), the signature of a regional organization or of the Governments of at least two countries may be accepted in order to transfer the Funds to the PUNOs.

The Funding Board may consider making several successive allocations in a country. The decision of investing an additional allocation in a country will depend on the results reached by WPHF in the country during the first phase and a clear sustainability and/or exit strategy submitted by the UN Country RC/HC with an updated country allocation proposal.

In order to respond to a limited number of sudden onset emergencies, the WPHF will build a reserve to enable it to make a country allocation of at least \$2 million within a maximum of 5 working days.

In addition, in line with its knowledge management, capacity building, and rapid response needs at the global level, the WPHF funds a limited number of **global level projects**, including through the Global Learning Hub (L-Hub) which are submitted to and approved by the Funding Board.

In addition to its regular funding stream, the WPHF Funding Board has the ability to develop targeted funding windows to respond to specific situations that emerge. WPHF has two other dedicated funding windows (in addition to its regular funding cycle)¹⁰:

- A Rapid Response Window on women's participation in peace processes and the implementation of peace agreements, which provides rapid and short term funding to support women's meaningful participation in international, national or regional peace processes or the implementation of peace agreements (as recommended by the UN SG in his 2019 annual report on Women, Peace and Security).
- A Funding window for WHRDs, established in 2022 responds to the increasing needs for protection and participation from/working in WHRDs from conflict/crisis countries.

The rules and procedures governing these funding mechanisms may be found in sections 3 and 5.

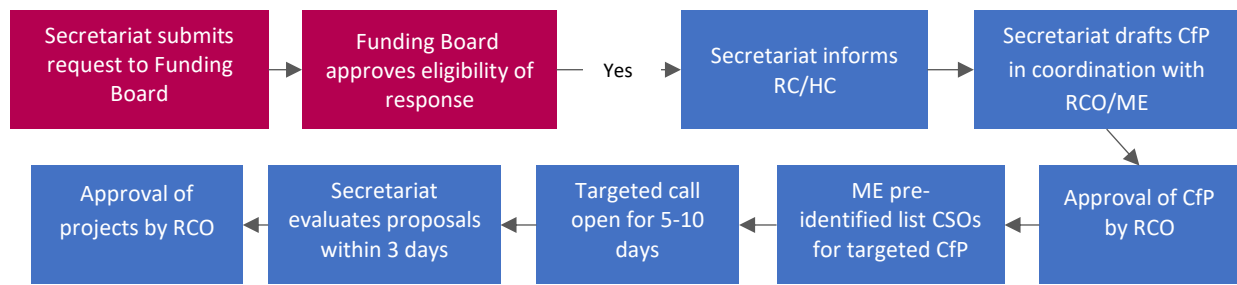
2.1. Emergency Track

The emergency response process of WPHF aims to accelerate the speed in which funds are channeled to local women's rights organizations in situations of acute crisis so they can rapidly respond to the needs on the ground. The process includes a first phase to fast-track the selection and contracting of CSOs on the frontlines of the emergency response, and a second phase to reinforce, complement and expand the existing efforts by engaging a wider number of organizations.

Under phase 1 selection and contracting of CSOs is fast-tracked by issuing targeted Calls for Proposals to a limited number of pre-identified organizations having passed UN capacity assessments in the past 2 years, and by streamlining the decision-making process through the RC/HC (a National Steering Committee will not be required in this case).

¹⁰ The COVID-19 ERW which was approved by the Funding Board in 2020 was closed in December 2022.

Figure 1: Emergency Track Process (Targeted Call)



Phase 2 of the emergency response track follows the same process as the Regular Funding Cycle Calls for Proposals, including use of public open calls and decision-making by National Steering Committee.

See Annex 14 for more details on the emergency response track process.

3. Governance of the Fund

3.1. Governance and management structure

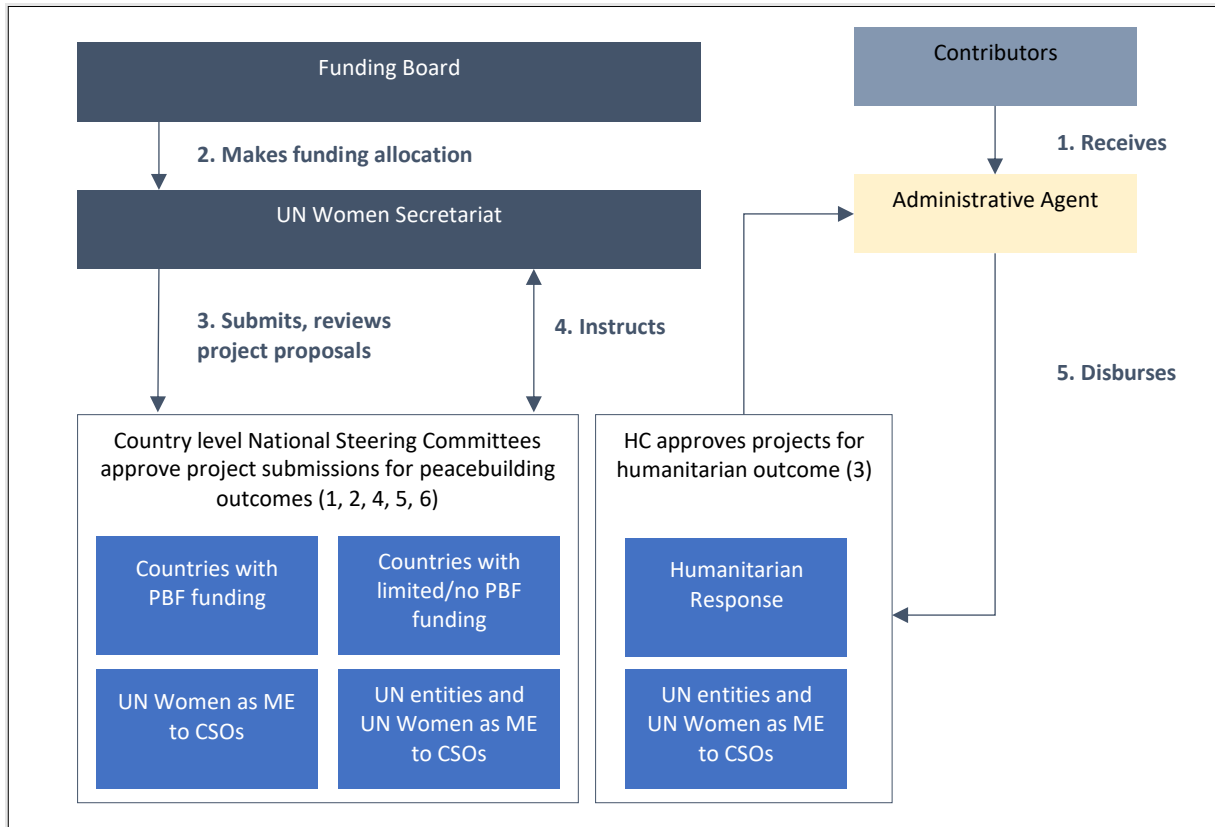
Governance of the Fund is described in the WPHF's Terms of Reference and is carried out at three levels:

- *Partnership coordination and fund operations* through the Funding Board at the global level, National Steering Committees at country level and the Technical Secretariat. In order to ensure flexibility and country ownership, the governance arrangements combine a global oversight mechanism with country specific steering committees. The Technical Secretariat ensures operational support for the WPHF.
- *Fund design and administration* by the MPTF Office.
- *Fund implementation* through Participating UN Organizations (PUNOs) and/or Non-UN Organizations (NUNOs)¹¹. The Management Entity for CSOs also acts as the WPHF Secretariat at the country level. UN Women acts as the UN Management Entity for CSOs and WPHF Secretariat where UN Women has a field presence. In countries where UN Women does not have a field presence, another UN entity will be designated as the Management Entity for CSOs and WPHF's country level Secretariat.

A summary of the governance arrangements is shown in the figure below.

¹¹ Under both the Window on WHRDs and the RRW, implementation is carried out by NGO partners

Figure 2: WPHF Governance Arrangements



Overall direct and indirect management costs of the WPHF will be up to 15 per cent, broken down as follows:

- 1% for the Administrative Agent (MPTFO)
- Up to 7% for the WPHF Technical Secretariat
- Up to 7% for the P/NUNOs.

Exceptions to this fee structures can be made on exceptional basis and need to be approved by the Funding Board and the AA if relevant.

This section describes the roles, responsibilities, and composition of the governance entities.

3.2. Funding Board

Responsibilities of the Funding Board

The Funding Board shall provide the Fund's partnership platform and constitute its guiding and supervisory body. It shall assume the following responsibilities:

i. Provide a platform for partnership, coordination, advocacy and resource mobilization at global level

As a partnership between Member States, the UN and civil society, the Funding Board shall provide a forum for exchange and coordination on women's engagement in humanitarian action and peace and security. It shall manage donor relations and communicate the WPHF's mandate, funding mechanisms, theory of change, results framework, progress, and evaluations to national and international partners. It shall facilitate coordination and consistency with other initiatives on

humanitarian action and peace consolidation. All members of the Funding Board shall actively engage in resource mobilization efforts for the WPHF. The Funding Board shall provide guidance and request the Technical Secretariat to develop a resource mobilization strategy as well as operational annual plans.

ii. Regularly setting, validating, and adjusting the Fund's strategic direction

The WPHF's strategic direction shall be determined based on its theory of change, five-year results frameworks and country priorities. The Funding Board shall approve the WPHF's results frameworks and eligible countries based on agreed methodology and criteria provided under section 5. The Funding Board shall task the Technical Secretariat with consulting with Funding Board members to prepare the fund results frameworks and selection criteria. Based on regular reviews of the Fund's progress, the Funding Board shall draw lessons learned from implementation, review and revise the WPHF's theory of change and its expected results. The Funding Board may approve revisions to the WPHF's Terms of Reference and extend the Fund.

iii. Authorize the Administrative Agent, on the basis of its decisions to allocate funds to eligible countries and to transfer funds to Participating Organizations for global projects and sudden onset emergencies

The Funding Board shall make a funding allocation to eligible countries. In order to ensure an impact, country or multi-country fund allocations, in general will be no less than \$2 million per country. Initial investments of \$1 million will be accepted but the Board will work towards matching the contribution to reach the \$2 million target.

The Chair of the Funding Board shall sign the submission forms for country-based allocations instructing the Administrative Agent to make these funds available to specific countries. Funds will be transferred to PUNOs and/or NUNOs upon the Administrative Agent's receipt of the signed fund transfer request form and duly signed project documents from the agreed country-level steering mechanism. In the case of a sudden onset emergency and global projects, the Chair of the Funding Board will directly sign the fund transfer request form instructing the Administrative Agent to transfer funding to the specified PUNOs and/or NUNOs. The country allocation and fund transfer request forms are submitted to the Administrative Agent through the Technical Secretariat.

iv. Ensure that the Fund's operations are well managed

The Funding Board shall examine and approve the WPHF Operations Manual in the course of its first two meetings. It may then, if necessary, commission a review of the Operations Manual. In this context, when the Funding Board is called on to rule on a procedural point not covered by the manual, its decision shall count as precedent until the end of the three-year period, at the end of which the Operations Manual should be amended accordingly and validated by the Funding Board. The Funding Board will approve direct costs related to the Fund's operations supported by the Secretariat. The Chair of the Funding Board shall sign the submission form approving the transfer of funds for direct costs, which is then transmitted to the Administrative Agent through the Technical Secretariat.

v. Approve the Fund's risk management strategy and review risk regularly

The Funding Board shall task the Technical Secretariat to prepare a fund risk management strategy in consultation with relevant stakeholders. The template for the risk management strategy is provided in section 7.

vi. Monitor progress against the results framework, provide general oversight and exercise overall accountability of the WPHF

In accordance with the standard UNDG legal instruments, annual and final reports (narrative and financial) consolidated respectively by the Technical Secretariat and Administrative Agent shall be submitted to the Funding Board for review and approval. This will include consolidated information from the Administrative Agent's results-based management system. The Funding Board shall use this information to monitor the WPHF's performance in line with its theory of change and results framework, and to make future allocation decisions. Following examination of these reports, the Funding Board shall be responsible for requesting any revisions deemed necessary, including closure of country or multi-country allocations and global projects in question in the event of under-performance and request the refund of the unspent balance. Once the reports have been validated by the Funding Board, the Technical Secretariat shall send it to the Administrative Agent, which shall pass it on to the contributors and communicate it publicly. The Funding Board shall authorize the Technical Secretariat to transmit the reports validated by the Funding Board to other bodies for the purposes of official notification.

The Technical Secretariat will convene quarterly meetings with working level members of the Funding Board to update them on the WPHF's progress.

The Funding Board shall commission a mid-term as well as external independent evaluation of the overall performance of the Fund to obtain a systemic evaluation of fund achievement. The final evaluation/lessons learned exercise shall be commissioned about 12 months before the Fund's operational end date. Both the mid-term and final evaluations shall be commissioned through the Technical Secretariat. The lessons learned shall be consolidated and shared widely.

vii. Provide quality assurance of knowledge products

The Funding Board shall review and approve all global knowledge products produced with funding from the WPHF. This excludes knowledge products developed by partner CSOs with WPHF Funding. It will ensure that knowledge products are widely and freely disseminated.

The Funding Board shall be supported in its duties by the Technical Secretariat.

3.2.1 Composition of the Funding Board

The Funding Board is comprised of representatives from the UN family, Member States and civil society. The four largest donors to the WPHF will be invited to participate in the Funding Board on an annual rotational basis. In addition to UN Women, two UN participating organization (on a biennial rotational basis), and the Peacebuilding Support Office (PBSO) will form part of the Funding Board. Four representatives from global civil society organizations focused on prevention, humanitarian response and peacebuilding will be invited as members of the Funding Board on a biennial rotational basis. Civil society membership will be determined through a self-nomination process.

The Funding Board comprises twelve members, as follows:

- *Four representatives of the largest contributors* to the WPHF on an annual rotational basis (Permanent Representatives to the donor countries' mission to the United Nations or representatives designated by the Permanent Representative. Where possible donor representatives from Capitols are encouraged to participate). The Four largest contributors on year x are Board members on year x+1.
- *Four civil society representatives.* The civil society representatives shall be self-nominated for a 3 year mandate, non-renewable consecutively. This will allow a rotation and overlap of 2 civil society representatives to ensure continuity and knowledge transmission between

incoming and outgoing members. The CSOs will be selected through a selection process led by the current CSOs Board members on a self-nomination basis.

- *Two representatives from Participating UN Organizations (PUNOs)* on a biennial rotational basis (signatory of the MOU or his/her delegate at the Director level).
- *One representative from the Peacebuilding Support Office* (Assistant-Secretary General for Peacebuilding Support or Chief of the Financing Branch of the Peacebuilding Fund).
- *One representative from UN Women* (Assistant-Secretary General for Policy and Programme level or his/her delegate at the Director level).
- *The MPTF Office Executive Coordinator*, participating in the Funding Board as an ex officio member but without the right to vote.

The Technical Secretariat shall attend meetings of the Funding Board but may not vote. It shall serve as secretary of the Funding Board in the capacity of rapporteur.

The Funding Board will nominate the chair on a biennial basis. The chair of the Funding Board for 2016 and 2017 will be nominated at the Funding Board's first meeting.

In the event of absences, designated substitutes for PUNOs may not be of lower rank than Director. Should both the Chair and at least five voting members of the Funding Board be absent, the Technical Secretariat shall postpone the meeting of the Funding Board.

3.2.2 Operations and Rules of Procedures of the Funding Board

Ordinary meetings of the Funding Board shall be held once a year. The meetings shall be convened by the Chair of the Funding Board through the Technical Secretariat by means of a communication to the members of the Funding Board at least fifteen working days prior to the meeting date. The agenda, study documents, minutes of the previous meeting and a note on the progress made in implementing activities shall all be attached. The quorum shall be set at seven of twelve voting members present. At least one civil society organization needs to be present to meet the quorum. The Funding Board may, through the Technical Secretariat, invite honorary or exceptional members to attend in respect of any issue requiring clarification or an external perspective; such members shall not be involved in decision-making.

In order to ensure the WPHF is operational as quickly as possible, the Funding Board will hold two meetings in 2016. For the first inception meeting, the UN Women ASG for Policy and Programme shall send a letter of invitation to the members of the Funding Board at the levels indicated above.

The Funding Board shall make its decisions by consensus. For each decision, the Chair shall canvass the opinions of each member. If no consensus is reached, the proposal shall be returned to the Technical Secretariat for extensive review; it could then be returned to the agenda following recommendation. The Funding Board may agree to provide comments on documents and take decisions electronically.

To avoid conflicts of interest, all members of the Funding Board must declare any conflict of interest with any points on the agenda. If a programme proposal is submitted to the Funding Board by a participating organization with a seat on the Funding Board, or if the participating organization is an implementing partner or will indirectly receive funds through the project, the organization shall not be allowed to vote on the corresponding item.

The Chair of the Funding Board may decide to convene extraordinary meetings of the Funding Board; members must be informed of these by means of the same procedure as for ordinary meetings. The

Chair of the Funding Board may also be asked to convene an extraordinary meeting by a minimum of four members of the Funding Board. The Chair of the Funding Board then has ten working days to convene the meeting through the Technical Secretariat.

In the case of an emergency, the Chair of the Funding Board shall convene an extraordinary meeting of the Funding Board. Members will be informed 24-48 hours in advance. The Chair may solicit feedback from Funding Board members and make country level allocations through electronic means, including on a no objection basis within 48 hours. A meeting of the working level Funding Board will be held a maximum of 10 working days after an emergency allocation is decided.

The Funding Board may decide to create working groups comprised of a reduced number of Members to work on specific issues.

3.3 Country-level Steering Committees

Country or national-level steering mechanisms have delegated responsibility from the Funding Board to manage the WPHF allocation at the country level.

The Resident Coordinator/ Humanitarian Coordinator and the UN agency designated to play the role of the secretariat at country level will submit the most appropriate country level steering mechanism to the Funding Board for approval as part of the country allocation process. In countries where UN Women has a field presence, UN Women shall play the role of the country level secretariat.

3.3.1 Responsibilities of the Country-level Steering Committees

The country-level steering committees shall assume the following responsibilities:

i. Provide a platform for partnership, coordination, advocacy and resource mobilization at the country level

National level steering committees shall provide a forum for exchange and coordination on women's engagement in relevant WPHF outcome areas in each eligible country. It shall communicate the WPHF's country allocation, projects, progress, and evaluations to national and international partners. All members of the national level steering committees shall actively engage in resource mobilization efforts for the WPHF and manage partner relationships at country level. The Chairs shall also coordinate broad national and local consultations ahead of a civil society self-selection process to ensure diverse representation.

ii. Manage WPHF resources at the country level

The national level steering committees have delegated responsibility from the Funding Board to manage the WPHF allocation at the country level. The national level steering committee is responsible for selecting and approving projects in line with the WPHF's country allocation's contribution to the WPHF results framework. The national level steering committees must ensure that all project documents are shared with the WPHF Technical Secretariat for technical review. The national steering committee must approve all programmatic or budget revisions, and project extensions as appropriate.

iii. In coordination with the Technical Secretariat, request the Administrative Agent to transfer funding to PUNOs and/or NUNOs on approved project documents and available cash balance in the fund account

The co-chairs of the national level steering committees (or HC in the case of humanitarian response projects, and RC in the case of exceptional prevention projects or when Government's presence might constitute a threat to women human rights defenders and women peacebuilders) shall sign the

submission forms and approved project documents, which are then transmitted to the Administrative Agent through the global Technical Secretariat.

iv. Monitor progress and provide oversight on project performance

National level steering committees shall review annual and final narrative reports prepared by implementing entities. The national level steering committees shall use this information to monitor project performance and to inform future project allocation decisions. Following examination of these reports, the national level steering committees shall be responsible for requesting any revisions deemed necessary, including closure of projects in question in the event of under-performance and reimbursement of the balance to the country fund account.

3.3.2 Composition and Operation of the National level Steering Committees

To the extent possible, existing structures will be used rather than establishing new ones. In most cases, it is envisaged that existing coordination committees for WPS, including National Action Plans coordination mechanisms, PBF Joint Steering Committees, Spotlight Initiative National Steering Committees, or other MPTF Steering Committees¹² will be used.

At a minimum, the national level steering committee will be made up of:

- Representatives from the government
- Representatives from P/NUNOs
- At least two representatives from civil society
- Representatives from the donor committee.

Each country will specify in its proposal to the Funding Board, the composition of its national level steering committee and report on¹³ the number/names of civil society organizations who participated in the decision-making process.

3.3.3 National level steering committee Rules of Procedures

The co-chairs (UN and Government) of the national level steering committee shall invite members of the national level steering committee to meetings through its Secretariat. The co-chairs of the national level steering committee may invite honorary or exceptional members to attend in respect of any issue requiring clarification or an external perspective; such members shall not be involved in decision-making.

Ordinary meetings of the national level steering committee shall be held at least once a year. The meetings shall be convened by the co-chairs of the national level steering committee through the country-level Secretariat by means of a communication to the members of the national level steering committee at least ten working days prior to the meeting date. The agenda, study documents, minutes of the previous meeting and a note on the progress made in implementing activities shall all be attached. The communication and the documents shall be sent at least ten working days prior to the national level steering committee meeting. The co-chairs of the national level steering committee shall set the quorum depending on the number of voting members. A quorum requires at least 51% of voting members and at least 1 CSO to be present.

¹² The WPHF could operate as either a recipient or feeder fund with another fund at the country level in line with the commitment to use existing steering committees and structures

¹³ In the MPTFO Transmittal Form cover page.

The national level steering committee shall make its decisions by consensus. For each decision, the co-chairs shall canvass the opinions of each member. If no consensus is reached, the proposal shall be returned to the UN office providing secretariat support for extensive review; it could then be returned to the agenda following recommendation. The national level steering mechanism may agree to provide comments on documents and take decisions electronically.

To avoid conflicts of interest, all members of the national level steering committee must declare any conflict of interest with any points on the agenda. If a project proposal is submitted to the national level steering committee by a participating organization with a seat on the national level steering committee, or if the participating organization is an implementation partner or will indirectly receive funds through the project, the organization shall not be allowed to vote on the corresponding item.

The co-chairs of the national level steering committee (UN and Government) may decide to convene extraordinary meetings of the national level steering committee; members must be informed of these by means of the same procedure as for ordinary meetings. The co-chairs of the national level steering committee may also be asked to convene an extraordinary meeting by a minimum of three members of the national level steering committee. The co-chairs of the national steering committee then has ten working days to convene the meeting through the UN office providing secretariat support.

3.3.4 Responsibilities of the National Steering Committee Secretariat

Country level Secretariat support to the national level Steering Committee includes:

- Maintaining and circulating the calendar for national level steering committee meetings, preparing the agenda, minute taking and information dissemination to members and the global Technical Secretariat.
- Requesting proposals following a decision by the Steering Committee, receiving project proposals, reviewing for compliance and completeness, and sharing with the global Technical Secretariat for technical review.
- Compiling and circulating endorsed projects by the Technical Secretariat with the national level steering committee members for review and approval.
- Submitting signed and approved project documents and fund transfer request forms to the global Technical Secretariat for onward submission to the Administrative Agent.
- Coordinating communication between the global and national level.

The UN Management Entity for CSOs will also act as the WPHF Steering Committee Secretariat, using the indirect costs (up to 7%). In countries where UN Women has a field presence, UN Women will act as a Management Entity for CSOs and WPHF Steering Committee Secretariat. In countries where UN Women does not have a field presence, another designated UN Entity will act as both the Management Entity for CSOs and the WPHF Steering Committee Secretariat.

3.4 Global Technical Secretariat

UN Women will act as the WPHF Technical Secretariat at the global level, thus ensuring that dedicated funding is accompanied by technical expertise, political support, and the appropriate partnerships. UN Women will coordinate with the rest of the UN system through the UN Inter-Agency Standing Committee on WPS. The Technical Secretariat shall assume the following functions across five output areas:

Output 1.1: Quality, efficient and timely technical support and advisory to the funding board is provided

- Organizing meetings of the Funding Board and preparing the relevant documentation.
- Based on consultations with a wide range of stakeholders, preparing documentation on WPHF's strategy for Board consideration and approval
- Preparing the selection criteria for prioritization of countries and long-list of eligible countries based on approved methodology by the Funding Board.
- Drafting and passing the minutes of Funding Board meetings.
- Recording all decisions made.
- Following up meetings of the Funding Board to ensure that its decisions are implemented properly and reporting back to it if necessary.
- Preparing and submitting to the Funding Board for approval direct cost project proposals.
- Design and implement resource mobilization strategies for the Fund

Output 1.2: The Secretariat promotes in its operations a culture of risk management, accountability and transparency

- Elaborating and updating the WPHF Operations Manual for adoption by the Funding Board.
- Guaranteeing compliance with the Fund's rules and procedures.
- Coordination and management of all day-to-day activities necessary for the smooth running of the Fund.
- Liaison with the Administrative Agent office in New York, notably submission of fund allocation and transfer requests on behalf of the Funding Board and national steering mechanisms.
- Ensuring that activities financed by the Fund are compliant and consistent with best practices and with international standards.
- Based on the WPHF's country eligibility criteria and in consultation with Funding Board members and Resident Coordinators, reviewing the country allocation proposals for technical compliance and consideration by the Funding Board.
- Monitoring operational risks in line with the Fund's risk management strategy.

Output 1.3: Results-based monitoring, reporting and evaluation contributes to achieving the outcomes of the WPHF

- Based on the strategic direction of the Funding Board, preparing the Fund's three-year results framework for consideration and approval by the Funding Board.
- Conducting high-quality, technical, and financial reviews of project proposals based on agreed criteria prior to its submission to the Funding Board (for global projects) and national level steering committees through the UN office providing secretariat support, with recommendations.
- Consolidating annual narrative reports of the Fund's activities and performance based on project reports and the performance reports from the Administrative Agent's result-based management and submitting to the Funding Board and Administrative Agent.
- Update and maintain WPHF Management Information System (MIS)
- Contracting independent evaluators based on decisions from the Funding Board to evaluate the performance of the Fund.
- Review and issuing opinions and recommendations to the Funding Board on all monitoring and evaluation reports.

Output 1.4: WPHF is a recognized global hub of knowledge and capacity building in the field of women, peace and security and humanitarian action

- Conduct capacity building with partners in a broad range of organizational and WPS topics
- Provide on-going technical coaching and support to UN country offices and Management Entities
- Carry out evaluations to monitor and assess the delivery, accessibility, and effectiveness of capacity building initiatives
- Manage the L-HUB Community of Practice platform that promotes networking and information exchange among WPHF grantees

Output 1.5: Visibility of WPHF and its mandate is enhanced among a wide range of audiences through effective communications and innovative partnerships

- Implement a comprehensive communications strategy to support the visibility and resource mobilization objectives of WPHF
- Ensuring that knowledge products produced with WPHF funding are widely and freely disseminated.
- Communicating and circulating information on the WPHF, its priorities, activities and performance to all stakeholders at national and international level.
- Plan and launch visibility events and digital campaigns to engage new audiences and support WPHF's resource mobilization goals

3.4.1 Composition and qualification of the Technical Secretariat

Under the general direction of the UN Women Chief, Women, Peace and Security and Humanitarian Action, the Technical Secretariat will comprise high-level technical personnel in the fields necessary for managing a fund in the areas of humanitarian action and women peace and security.

The Technical Secretariat shall be headed by a P5 who will act as the Head of the Secretariat. Additional staff members and consultants will be recruited, as needed.

The Technical Secretariat's operating costs shall be charged to the Fund as direct costs (no more than 7 per cent). The cost proposal covering a three-year period shall be submitted to the Funding Board by UN Women for examination and approval. It shall include a logical framework and a budget.

For the first year, the full requested amount based on resource mobilization targets shall be transferred to UN Women and adjustments can be made on the following years with the Funding Board's approval depending on actual resources mobilized.

3.5 Administrative Agent

The UNDP MPTF Office shall be the Fund's Administrative Agent designated in accordance with the memorandum of understanding signed with Participating UN Organizations and/or Non-UN Organization.¹⁴ It shall carry out the following functions:

i) conclude a Standard Administrative Agreement (SAA) with each contributor wishing to provide financial support for the Fund.

The Administrative Agent will inform the Technical Secretariat immediately of SAA signatures and ensure that the signed SAA as well as information relating to the contributions, is published on the Fund's website (<https://mptf.undp.org/fund/gai00>). Each SAA shall specify the total financing amount, the deadlines for payment instalments, and any earmarking.

¹⁴ All standard UNDG legal agreements can be found here: <https://mptf.undp.org/page/undg-legal-documents-and-templates-pooled-funds>

ii) receiving contributors' financial allocations and depositing them in the Fund account

The Fund's Gateway website gathers real-time financial information relating to the Fund's commitments and expenditures. Applicable interest rates and the Administrative Agent fees (one per cent on every contribution) are also calculated in order to determine the balance available for programming. The Administrative Agent shall regularly communicate the financial state of the Fund and the balance available for programming to the Funding Board, through the Technical Secretariat, and shall present the financial state of the Fund during the Funding Board meetings.

iii) making country allocations in accordance with the decisions of the Funding Board

On instructions from the Funding Board, the Technical Secretariat shall notify the Administrative Agent to make country allocations. The allocation request (Annex 1) shall be made via electronic media to the Executive Coordinator of the MPTF and copied to the country UN Resident Coordinator / Humanitarian Coordinator, the UN agency providing secretariat support at country level, and to the MPTF Portfolio Manager in charge of the Fund at the MPTF Office. The following documents must be attached: the signed country allocation document and the corresponding minutes of the Funding Board meeting. Upon receipt, the Administrative Agent will earmark the funding to the specific country.

iv) Subject to the availability of funds, releasing funds to each Participating UN Organization and/or Non-UN Organization in accordance with the decisions of the Funding Board and national level steering committees

On instructions from the Funding Board for global projects, and immediate disbursement for emergency projects, as well as national level steering mechanisms, the Technical Secretariat shall notify the Administrative Agent to release funds to PUNOs and/or NUNOs. The transfer request shall be made via electronic media to the Executive Coordinator of the MPTF and copied to the country UN Resident Coordinator/Humanitarian Coordinator, the UN agency providing secretariat support at country level, and to the MPTF Portfolio Manager in charge of the Fund at the MPTF Office. The following documents must be attached: a fund transfer request and the project document, both correctly signed, as well as the corresponding minutes of the Funding Board or national steering committee meeting. Upon receipt, the Administrative Agent will transfer the funds to the headquarters account of the relevant PUNO and/or NUNO. In line with undg guidance, a minimum threshold of \$100,000 per individual transfer to a PUNO is put in place.

The Administrative Agent shall release each payment within three to five working days of receipt of the instruction from the Technical Secretariat together with all required documents. In the case of an emergency response, the Administrative Agent will aim to release funds within one to two working days. The Administrative Agent shall confirm that funds are available and release them on the basis of the budget provided for in the approved programme-related document.

When making the transfer, the Administrative Agent shall notify the PUNO and/or NUNO and send an electronic payment notification with the following information: (a) the amount transferred; (b) the value date of the transfer; and (c) an indication that the transfer has come from the UNDP MPTF Office and has been made on behalf of the Fund.

v) Uploading narrative reports on the Gateway

The MPTF Portfolio Manager in coordination with the Global technical secretariat will ensure that all narrative reports are uploaded onto the relevant WPHF project pages on the Gateway.

vi) consolidating annual and final financial reports on the basis of financial reports provided by PUNOs and/or NUNOs and circulating consolidated narrative and financial reports to the Funding Board and contributing partners.

vii) administering funds received in accordance with UNDP rules, procedures and policies, including the provisions relating to liquidation of the account and related issues.

3.6 Contributors

Contributors are the financial partners which allocate resources to the Fund. They may be governments (i.e. development partners), or institutions, either public or private, including multilateral, intergovernmental, and non-governmental organizations and individuals. The four largest contributors in a given year are represented on the Funding Board in the following year, and participate in creating strategic guidelines for the Fund, promoting partnerships and monitoring the Fund's overall portfolio.

Contributors wishing to contribute to the Fund must sign a Standard Administrative Agreement with the Administrative Agent (SAA). Contributors shall be able to direct their contributions into the Fund account. **Contributors may earmark their contributions at the outcome level, or at the country level, as long as the earmarked country is among the countries longlisted by the WPHF Funding Board.**

3.7 Participating organizations

Responsibilities of the UN Management Entity for CSOs

The designated UN Management Entity (ME) for CSOs (UN Women in countries where UN Women has a field presence) will ensure economical use of funds and assume programmatic and financial accountability for funds received from the Administrative Agent and ensure timely disbursements of funds to partners CSOs in accordance with the decisions of the country level steering committee and its rules and regulations. The UN Management Entity will also ensure project monitoring, evaluation and audit of CSOs projects and manage the reporting system of CSO projects on behalf of the country steering committee and in line with its rules and regulations.

At the country level, the ME will support CSOs in designing and developing project proposals for submission to the WPHF in an inclusive and transparent manner, and strengthen their capacity in implementation of the women, peace and security and humanitarian agenda. Specific efforts will be made to identify, work with, and mentor a range of local CSOs at the country level. Such CSOs will receive funds for approved projects through the ME at the country level. The ME will undertake the following in line with its rules and procedures:

- Assume programmatic and financial accountability for funds received from the Administrative Agent for CSO projects directly approved by the national level steering committee;
- Undertake capacity assessments of implementing partner CSOs.
- Provide technical support to CSOs for drafting their proposals with specific attention to outreach to small /grassroots / community based CSOs.
- Prepare and sign Agreements for CSO implemented projects, in accordance with the decisions of the national level steering committee.
- Undertake orientation and training for CSOs with regard to the administrative, programmatic and financial procedures applicable to the WPHF.
- Design and implement a capacity-building plan for CSOs with a specific attention to outreach to small /grassroots / community based CSOs.

- Ensure timely fund disbursement to CSOs in line with the disbursement schedules in the signed PCAs.
- Undertake project monitoring activities.
- Ensure financial follow-up through regular collection of financial reports based on approved budgets and financial auditing.
- Maintain information and ensure communication about disbursements to CSOs.
- Provide financial reports to the Administrative Agent.
- Provide consolidated inputs on achievements of the CSO-funded projects in an Annual Report submitted to the WPHF Global Secretariat

The UN Management Entity for civil society organizations is also responsible for the management of Risk relating to cash advances to implementing partners. There is a risk that cash transferred to a Partner may not be used as intended or reported in accordance with agreements and approved work-plans and the Management Entity should therefore effectively manage this risk. The Project Manager shall monitor advances on a systematic basis and missing financial reports must be followed up in a timely manner. The cash advance modality requires close monitoring from the Field Office in order to verify the correct use of the advanced funds for achieving of immediate results and expected outputs. The Field Office must also monitor the amounts to be advanced to the project, according to the planned activities in any period (at least quarterly). If the balance at the end of the period is too high, the Field Office must determine what the problem is and, together with the Partner, implement necessary corrective actions. Overall, the responsibility to manage the risk of advancing funds to partners is with Management Entity Office issuing the advance. In addition, Partners shall be audited in accordance with the Audit Policies and Procedures of the UN Entity acting as the ME for CSOs.

The Management Entity (ME) for civil society organizations will take appropriate measures to prevent illegal practices and/or improper behavior (such as fraud, violation of the fundamental principles of procurement rules, harassment, sexual harassment, sexual exploitation and abuse, other forms of misbehavior and/or any irregularity) in connection with the implementation of the project/programme. In the event that the ME determines that there are credible allegations of illegal practice and/or improper behavior, the ME will take swift and appropriate action to stop and investigate in accordance with applicable organizational regulations and applicable law.

The ME will promptly inform the National Steering Committee of any instances of illegal practice and/or improper behavior as referred to in this paragraph.

The designated UN ME shall use the indirect costs (up to 7%) to cover costs related to both the Management Entity and the country level Secretariat roles. The UN Management Entity will also be able to use direct costs of no more than 5% of the total allocation for capacity building purposes, with a specific focus on grassroot and local CSOs, as well as specific attention on civil society organizations having failed the application process. The specific allocation for capacity building should be approved by the National Steering Committee after technical review by the Secretariat to ensure non duplication with Global capacity building efforts.¹⁵

The WPHF Global technical Secretariat also has the ability¹⁶, on a case by case basis, to provide staffing costs to the UN ME for monitoring and evaluation of WPHF grantees, based on a series of criteria such as size of portfolio and grants, as well as local capacities. These costs should not be over 3% of the total active allocation (see Annex 17).

¹⁵ As per the decision of the Funding Board in its annual meeting of 6 April 2020.

¹⁶ Ibid.

4. The WPHF's Results Framework

The performance of the WPHF will depend on its investment decisions. In order to enable WPHF decision makers at the global and country level to invest its resources most effectively, the WPHF will develop a robust fund three-year results framework. This results framework includes a fund strategy underlined by a theory of change; the fund's expected results, with annual targets; and estimated financial needs.

The Funding Board shall consider the WPHF's results framework as a dynamic instrument that will be revised every three years to ensure that it takes account of contextual changes, programmatic results, failures and lessons learned, and evaluations. The components of the WPHF's results framework are described below.

4.1. The WPHF Strategy underlined by its Theory of Change

The WPHF strategy articulates its approach for achieving its objectives: breaking the silos between humanitarian, peace, security and development finance; addressing the structural funding gap for women's participation across the continuum; and improving policy coherence and coordination.

It shall be anchored in the shared theory of change articulated in *Tracking Implementation of Security Council resolution 1325 (2000)*.¹⁷ and elaborate on the following elements:

- *An analysis of the problem*, its underlying causes, the context and stakeholder dynamics.
- *Identification of the desired long-term change* and beneficiaries (fund impact). The WPHF's overall goal is to contribute to more peaceful and gender equal societies.
- The *proposed pathway to change*, which sets out the causal linkages and sequences of events needed to create the conditions for achievement of long-term change. The WPHF has highlighted that achievement of its desired impact will require that women are empowered to participate in, contribute to, and benefit from conflict prevention, crisis response, peacebuilding, humanitarian engagement, and recovery. Results in these areas constitute the outcomes of its theory of change (see below).
- **Outcome 1: Enabling environment for the implementation of WPS commitments:** This will require evidenced-based advocacy and technical support to ensure the adoption of quality, locally relevant accountability frameworks that meet emerging threats and challenges (including violent extremism), and that address attitudinal and cultural biases. Accountability frameworks, including National Action Plans on resolution 1325 must be financed and monitored to ensure implementation. This will require the empowerment of national women's machineries, civil society, and the UN system.
- **Outcome 2: Conflict prevention:** Women's meaningful participation in conflict prevention can only materialize if three conditions are in place. First, favorable attitudes of parties to the conflict & communities towards women's participation in conflict prevention must be promoted. Second, local women's organizations must have the capacity to identify and respond to threats by establishing networks, early-warning systems and mechanisms that offer opportunities for dialogue and peacefully engagement. Finally, women's conflict prevention mechanisms must be connected to national and international reporting and response systems.

¹⁷ In *UN Women Sourcebook on Women, Peace and Security*. New York. October 2012.

- **Outcome 3: Humanitarian crisis and response:** Ensuring that the humanitarian/crisis response planning, frameworks and programming are informed by gender analysis and needs assessments, requires both the technical tools as well as direct support to local women's organizations to engage effectively in humanitarian planning and programming. It will also require that women's organizations are given a more meaningful role in service delivery, and actively participate and exercise leadership in camp coordination and management.
- **Outcome 4: Conflict resolution:** Addressing attitudinal and cultural barriers to women's representation and participation in formal and informal peace negotiations is critical to increasing their role in these processes. Increasing the availability of gender expertise and capacity of mediators in the negotiations are also crucial. Finally, women's organizations will require support to strengthen their leadership capacity, negotiation skills and abilities to influence and build consensus.
- **Outcome 5: Protection of women and girls:** Ensuring that women and girls' safety, physical and mental health and security are assured, and their human rights respected, requires measures that prevent acts of violence, facilitate access to services for survivors of violence, and strengthens accountability mechanisms. Prevention includes putting in place operational mechanisms and structures that strengthen the physical security and safety for women and girls. This covers both UN peacekeepers and national security forces. It also includes strengthening the capacity of the gender machineries and women's organizations to identify and report on sexual and gender-based violence, including in contexts of violent extremism. Access to services includes access to comprehensive redress, including justice, appropriate health & psychosocial support services. Protection of women and girls will also require that international, national and non-state actors are responsive and held to account for any violations of the rights of women and girls in line with international standards.
- **Outcome 6: Peacebuilding and recovery:** In order to ensure that women's and girls' specific needs are met in conflict and post-conflict situations, women must have the capacity and opportunity to meaningfully participate in recovery planning. They must also benefit from peacebuilding and recovery investments. Women's economic empowerment in both agricultural activities and entrepreneurship is particularly relevant in this regard. Finally, sustained peace will require post-conflict institutions and processes that are gender responsive.

A graphical representation of the theory of change underlying the WPHF can be found in Figure 3.

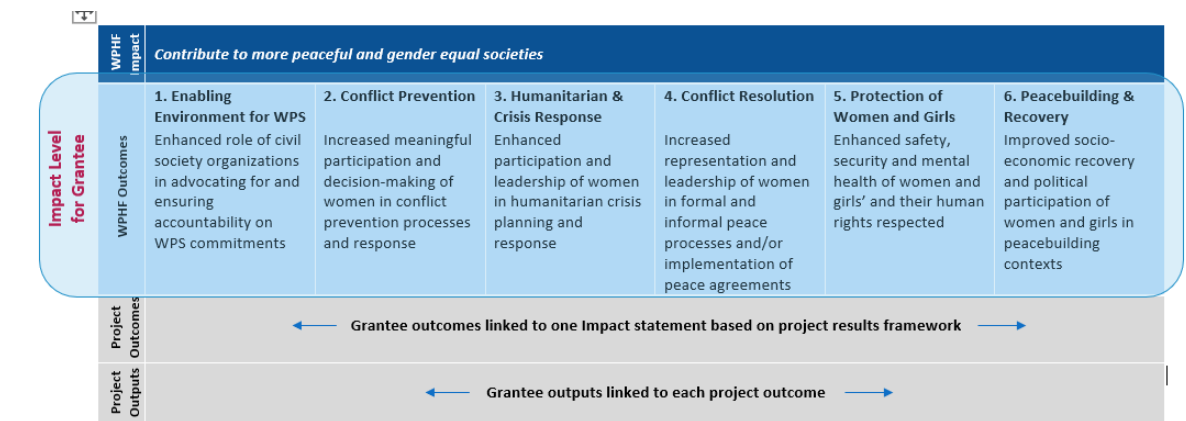
Figure 3: WPHF Theory of Change

Impact	<i>Contribute to more peaceful and gender equal societies</i>					
TOC Statement	If (1) civil society organizations advocate for and ensure accountability on WPS commitments; and If (2) women meaningfully participate in decision-making processes related to conflict prevention, crisis response and the negotiation of peace in a quality manner; and If (3) humanitarian and crisis planning, frameworks and programming is more inclusive and gender responsive; and If (4) women are represented and take leadership roles in peace negotiations; and If (5) women's and girls' safety, security and mental health is protected; and If (6) women participate in and benefit from peacebuilding and recovery; and whereby there is a women's peace and humanitarian funding mechanism which aims to break silos between humanitarian, peace and security, human rights and development, addresses structural funding gaps for women's participation, and increases policy coherence is established; Then (7) societies will be more peaceful and gender equal; because (8) evidence shows that when civil society organizations are provided with quality ¹ and adequate funding to support women as drivers of peace, societies are more likely to be stable and inclusive, and peacebuilding settings are opportunities to address underlying gender inequality barriers					
Outcomes	1. Enabling Environment for WPS Enhanced role of civil society organizations in advocating for and ensuring accountability on WPS commitments	2. Conflict Prevention Increased meaningful participation and decision-making of women in conflict prevention processes and response	3. Humanitarian & Crisis Response Enhanced participation and leadership of women in humanitarian crisis planning and response	4. Conflict Resolution Increased representation and leadership of women in formal and informal peace processes and/or implementation of peace agreements	5. Protection of Women and Girls Enhanced safety, security and mental health of women and girls' and their human rights respected	6. Peacebuilding & Recovery Improved socio-economic recovery and political participation of women and girls in peacebuilding contexts
Outcome TOC	If (1) civil society organizations are involved in the design, implementation and monitoring of WPS commitments and frameworks; and if these are adequately financed and monitored; then (2) implementation of WPS commitments will improve; because (3) civil society's involvement is key in ensuring accountability on WPS commitments.	If (1) women are actively participating in conflict prevention; and they are empowered to lead early warning and conflict prevention mechanisms; then (2) conflict prevention efforts will be more successful; because (3) evidence shows that women's involvement can improve both conflict prevention and response.	If (1) women's needs inform humanitarian planning and programming; and civil society organizations have the capacity and opportunity to integrate gender equality; then (2) humanitarian planning and programming will be gender inclusive and responsive and promote women's empowerment; because (3) experience shows that explicit involvement of women in the design and implementation of humanitarian assistance facilitates meeting their needs.	If (1) women are involved as mediators and as stakeholders in conflict resolution; if gender expertise is made available, and if the capacity and influence of women to engage in the negotiation process is strengthened; then (2) peace agreements are more likely to be sustained; because (3) women's participation is proven to shift power dynamics towards peace, inclusiveness and equality.	If (1) there are mechanisms in place, informed by women's participation, to increase the physical security of women and girls; if perpetrators of SGBV are held to account; and if survivors are provided with comprehensive support; then (2) women and girls will be safer and their human rights respected; because (3) security, justice and support services reduce the likelihood of conflict-related crimes.	If (1) women participate in political processes, and benefit from peacebuilding and recovery efforts; and if these efforts and processes are gender-responsive; then (2) peace dividends will be more inclusive, security reforms will benefit all, and economic recovery and resilience will be accelerated; because (3) including women in peacebuilding processes brings broader benefits to communities
WPHF	← WPHF significantly contributes to local civil society organizations increased participation in women peace and security and humanitarian processes →					

4.2. Theory of Change and Nested Model

Based on its theory of change and results-based management (RBM) principles, the WPHF theory of change and results framework will be based on a nested model, whereby the Fund's outcome statements will align with the impact statements of grantees as per the specific call for proposals and project documents (Figure 3). This will facilitate global reporting against each of the WPHF outcome areas. Grantees will develop their own project outcome and output statements as aligned with their proposed interventions. Additional indicative outputs and indicators will be shared with grantees for consideration.

Figure 4: WPHF Outcomes and Nested Model



4.3. Results Framework and Indicators at the Fund and Project level

The WPHF has developed a results matrix, with specific outcome indicators to be monitored. The indicators are aligned to each WPHF outcome and are monitored in each country to allow consolidation and aggregation of country performance data. The performance of outcome indicators will be reviewed every year by the Funding Board, and indicators might be adjusted, or data collection systems improved. In order to allow the consolidation each approved project will be expected to select and report on at least one outcome indicator directly linked to the transformative change generated by the project interventions. Project designs will draw on specific WPHF outcome indicators, and grant information is stored in the Fund's Management Information System (MIS).

4.3.1 Fund Level Results Framework

Based on its strategy and theory of change, the Technical Secretariat will recommend a set of indicators at different results levels to the Funding Board for approval in order to monitor and report on performance (see Figure 5). A global baseline by indicator will be defined at the establishment of the WPHF if data are already available and will act as a reference point against which progress can be assessed. The targets, which are the results the WPHF plans to achieve, will then depends on the investment decision and level of capitalization.

Figure 5: Fund Level Performance Indicators

Indicator	Baseline (2016-2020)	2021 (Actual)	2022 (Actual)	2023	2024	2025	Means of Verification /Source
Amount of funding raised by WPHF. ¹⁸	48.4. ¹⁹ million	85.6 million	199.3 million	186.2m illion	299.3 million	429.3 million	MPTFO
Number of calls for proposals launched	25	43	64	N/A ²⁰	N/A	N/A	CfP Documents
Number of proposals received from CSOs ²¹	7,285. ²²	8,951	9,925	N/A	N/A	N/A	WPHF MIS
Amount of funds allocated by outcome and country. ²³	N/A	N/A	N/A	N/A	N/A	N/A	ME Transmittal Forms
Number of civil society organizations supported (by country, type of funding window, nature of organization, and coverage of organization) ²⁴	362	617	961	1,801	3,001	4,561	Partner Prodocs
Percentage of WPHF partners that report using new knowledge and skills acquired from WPHF capacity building initiatives	N/A	86%	82%	85%	85%	85%	Annual Partner Survey

4.4.2 Programmatic Level Performance Indicators

At the programme level, indicators are selected at each level of results;

- *Fund Impact indicators*: usually track long-term change. Interventions from a range of stakeholders contribute to such change. A WPS and humanitarian index will be developed and used based on select sub-indicators related to peaceful and gender equal societies. This will be piloted in 2021 and measured every 1-2 years.
- *Outcome indicators*: are established at the fund level. Every project financed by the WPHF will contribute to a fund outcome and must choose at least one outcome indicator to report against (at the project impact level). This allows aggregation and consolidation of progress against fund outcomes across a large number of projects. Projects will establish their own baseline and targets for selected indicators.
- *Output indicators*: are established at the project level. Every project defines its own output indicators and reports to the WPHF annually on whether it is on or off track.

¹⁸ This includes funds that are pledged or transferred.

¹⁹ 2016-2020

²⁰ Targets for certain indicators are not applicable and results will be reported on actuals

²¹ Regular Funding Cycle, COVID-19 ERW and RRW

²² As of December 31, 2020

²³ This includes programmable and indirect costs at the country level

²⁴ Lead CSO and co-implementing partners on approved grants

The following figure illustrates the WPHF indicators against each outcome area. Projects will select a minimum of one indicator for their respective outcome area and establish their own baseline and targets.

Figure 6: Programmatic Level Indicators

Expected Result	Indicator
Impact: Contribute to more peaceful and gender equal societies	WPHF WPS and Humanitarian Index <i>Index of select internationally recognized indicators across three domains of peace, security and humanitarian action, gender equality and space for women's civil society organizations contributing to peaceful and gender equal societies.</i>
All Projects	Number of people directly benefiting from the response (by sex, age group, or other variables)
	Number of people indirectly benefiting from the response
Outcome 1: Enhanced role of civil society organizations in advocating for and ensuring accountability on WPS commitments <i>(Programmatic Funding)</i>	1.1 Number/Percentage of supported CSOs involved in NAP1325 design, budgeting, implementation and monitoring and evaluation
	1.2 Number/Types of propositions by civil society that are included into policy documents
Outcome 1: Enhanced role of civil society organizations in advocating for and ensuring accountability on WPS commitments <i>(Institutional Funding)</i>	1.1 Average number of months organization can be sustained as a result of institutional funding
	1.2 Number/Percentage of staff retained as a result of institutional funding
	1.3 Development of risk management and contingency plans or strategies for organization
	1.4 Number/Types of adaptive strategies, tools or systems adopted by organization for continuity of operations
Outcome 2: Increased meaningful participation and decision-making of women in conflict prevention processes and response	2.1 Number/Percentage of women participating in decision-making in conflict prevention processes and response
	2.2 Number/Types of conflict prevention mechanisms are gender responsive
Outcome 3: Enhanced participation and leadership of women in humanitarian crisis planning and response	3.1 Number/Percentage of women participating in decision-making in humanitarian and crisis response
	3.2 Types of mechanisms established to improve gender responsive humanitarian and crisis planning, frameworks and programming
Outcome 4: Increased representation and leadership of women in formal and informal peace processes and/or implementation of peace agreements	4.1 Number and/or percentage of women that influence or participate in formal and informal peace processes or negotiations (by role [mediator/advisor/stakeholder])
	4.2 Existence of gender responsive provisions in peace agreements, dialogues, and/or decision-making processes
	4.3 Types of strategies used/implemented to participate in and contribute to the peace process and/or implementation of a peace agreement
Outcome 5: Enhanced safety, security and mental health of women and girls' and their human rights respected	5.1 Number/Percentage of CSOs, that report having greater influence and agency to work on sexual and gender-based violence (SGBV)
	5.2 Degree to which social accountability mechanisms are used by civil society in order to monitor and engage in efforts to end SGBV
	5.3 Number of local women's organizations, CSOs or autonomous social movements coordinating efforts to advocate and implement interventions to protect women and girls' human rights and ending SGBV

Expected Result	Indicator
Outcome 6: Improved socio-economic recovery and political participation of women and girls in peacebuilding contexts	6.1 Number/Types of plans and/or policies in peacebuilding contexts influenced by women or civil society organizations
	6.2 Number/Percentage of women with increased agency as a result of economic productive resources
	6.3 Number/Percentage of women participating in political and decision-making processes

5. WPHF Country Allocation and Project Approval Procedures²⁵

The WPHF is a grant-making mechanism, providing an allocation to civil society organizations in eligible countries. Under WPHF's regular funding cycle, an allocation from the WPHF can only be provided to countries that have been declared as eligible by the Funding Board. Each country allocation will be made in order of prioritization (except in the case of a sudden onset emergency) and aim to be a minimum of \$2 million. In some cases, the Funding Board may also decide on \$1 million allocations pending mobilization of additional resources in order to reach the \$2 million threshold. The decision-making over the projects that this allocation will finance is made at the country level by the national level steering mechanisms.

5.1. Country eligibility and prioritization

The list of countries eligible for WPHF funding is comprised of 2 different sub-lists:

List of WPHF active countries

The list of WPHF active countries is comprised of eligible countries where WPHF has made an investment. In order to remain in line with the WPHF's envisaged level of capitalization, the list of active countries should comprise no more than 26 countries/group of countries.

WPHF Reserve List of Countries

Eligible countries where no investment has been made yet will be placed on a reserve list. The reserve list will be reviewed/updated every year²⁶.

Both lists constitute the WPHF list of eligible countries. Technical Secretariat shall propose the list of eligible countries based on the following criteria:

- Countries must be on the OECD list of fragile states or facing a specific peace and security or humanitarian situation
- The nexus between fragility and the peace, security and humanitarian situation must be established.
- Geographic balance in the selected countries.
- Balance in the different situations experienced by the countries (prevention, conflict, post-conflict, humanitarian).

The Funding Board will also consider requests made by the UN Resident Coordinator in the country and/or Governments to be added to the list of eligible countries.

²⁵ All templates can be found in the annexes.

²⁶ As of 2023, the reserve list countries are Venezuela, C.A.R, Somalia and Sri Lanka

The Funding Board members can add countries to the list of eligible countries on a no-objection basis.

The Funding Board will review and revise the list of eligible countries at least on an annual basis in line with its agreed methodology.

Prioritization of countries

The Technical Secretariat shall request each eligible country through the UN Resident Coordinator on the endorsed long list to submit a brief 4-page country allocation proposal according to the template annexed to this Manual (Annex 1) and after consultation with national stakeholders, including the Government and civil society organizations involved in women, peace and security and humanitarian issues.

UN Women country offices or other UN agency offices where UN Women does not have a presence shall support the Resident Coordinator to complete the 4-page proposal. The RC and country level secretariat shall consult with relevant stakeholders, particularly to identify synergies and potential co-financing opportunities. The country proposal must be signed by the UN RC/HC.

The Technical Secretariat shall submit the proposals electronically to the Funding Board at least ten working days ahead of its meeting with proposed rankings based on scoring by agreed criteria. The Funding Board shall prioritize countries by evaluating the proposal against the following set of prioritizations and scoring criteria

In the case of an additional round of allocation in a country, the RC/HC will submit an updated country allocation proposal together with a sustainability/exit strategy (see template in Annex 11).

WPHF's Country Prioritization Matrix

This matrix serves as a decision-making tool for Funding board members to prioritize countries among the longlist of countries approved upon by the FB.

During the first year, the Board is considering the following 4 priority types of countries:

1. A conflict prevention country with little investment from the International Community and where the WPHF can have a strong impact.
2. A protracted conflict in a country which is a high priority of the international community and the UN Security Council and where the WPHF could showcase the added value of women's meaningful participation.
3. A country with a nexus between peace and security and humanitarian and where the WPHF could show the added value of breaking the silos between the Peace and security, humanitarian, and development continuum.
4. A country in transition, where the WPHF can demonstrate the impact of women's contribution to peacebuilding and recovery.

Country	PBF presence (Y/N)	WPHF Outcome covered	Overall added value with regard to the WPHF's objectives. ²⁷ (/60)			Envisaged impact of WPHF's investment (/40)	Diversity and inclusiveness of proposed partnerships (UN, Gov & CSOs) (/30)	Capacity needs of local/grassroots/ community based CSOs (/20)	Nature and Structure of the Steering Committee (/10)	Relevance of proposed Secretariat (/10)	Complementarity with PBF and other major UN initiatives (/30)	Total (/200)
			Breaking silos between the crisis, peace, security, and development contiguum	Addressing structural funding gaps for women's participation	Improving policy coherence and coordination, including by promoting coherence between actors							
			0: the question is not addressed or not understood	0: the question is not addressed or not understood	0: the question is not addressed or not understood	0: The question is not addressed or not understood	0: The question is not addressed or not understood	0: The question is not addressed or not understood	0: The question is not addressed or not understood	0: The question is not addressed or not understood	0: The question is not addressed or not understood	
			10: The added value of breaking the silos in the country is outlined but it is not clearly demonstrated how the allocation would contribute to it.	10: The proposal mentions the funding gap but doesn't clearly identify and demonstrate the gap	10: The proposal refers to policy coherence and coordination but doesn't clearly describe the modalities	20: Results are mentioned but are not strategic (not impact level) and/or not well articulated to the context analysis	15: The proposal includes a wide range of partners (the UN, the Gov and CSOs)	10: There is a knowledge of CSOs in the country but little information on their capacities and their needs	10: The proposed SC follows the guidance (1. Use existing structures where available rather than creating new ones and 2. Be inclusive of the Gov, the UN and CSOs)	10: The proposal clearly shows the added value of the Secretariat	15: The proposal maps other existing initiatives but doesn't show clear complementarity	
			20: The added value of breaking the silos in the country and the contribution of the allocation are both clearly outlined.	20: the funding gap is clearly identified and demonstrated	20: The proposal refers to policy coherence and coordination and clearly describe the modalities	40: Results are clearly outlined, are impact level and are well articulated to the context analysis	30: The proposal includes a wide range of partners and describes their respective added value	20: There is a demonstrated knowledge of women's organizations and a clear vision of their capacity building needs			30: The proposal maps other existing initiatives and clearly shows complementarity	

²⁷ The WPHF's objectives are:

- Breaking silos between humanitarian, peace, security and development finance by investing in enhancing women's engagement, leadership and empowerment across all phases of the crisis, peace, security, and development contiguum.
- Addressing structural funding gaps for women's participation in key phases of the crisis, peace and security, and development contiguum by improving the timeliness, predictability and flexibility of international assistance.
- Improving policy coherence and coordination by complementing existing financing instruments and promoting synergies across all actors: multi-lateral and bilateral entities, national governments' women's machineries; and local civil society organizations

5.2. Issuing a Call for Proposals

The identification of civil society organizations shall be done through Call for Proposals. The Call for proposals needs to clearly state the Objectives, Outcomes areas, requirements and evaluation criteria. The call for proposals will be widely disseminated at country and global levels, as a shared responsibility of the Global and national Secretariats. UN RC with UNW CO inputs.

In exceptional cases, WPHF will be able to hold targeted calls for CSOs, including under its emergency track, and that have already benefited from WPHF support for phase 2, when good results have been achieved during phase 1. The targeted call should not be used systematically and should not cover the entire amount of the available funding.

5.3. Developing a WPHF project document

The WPHF project documents must conform to the standard template so that participating organizations are able to implement harmonized, results-based programmes. The template of the institutional and programmatic project documents can be found in Annex 2 and 3.

5.4. Submission and technical examination

The Secretariat will be responsible for the receipt of all proposed project documents for each call for proposals through its applications inbox. Applicants will receive an automatic acknowledgement of receipt. The Secretariat shall then proceed to produce a longlist of project documents received for evaluation based on the following criteria:

- Lead applicant is legally registered in the country
- Compliant with the call for proposal
- Correct usage of the template
- Inclusion of all mandatory information.

If the project document meets these criteria, the Secretariat will evaluate the proposals with the purposes of producing a shortlist based on an evaluation template according to the following criteria:

Project design and objectives:

- Alignment with the WPHF's theory of change, particularly with respect to a specific impact in its results framework.
- Clear rationale for WPHF Support and how the crisis is impacting the organization (Stream 1) and beneficiaries (Stream 2)
- Clear articulation of project objectives, results and outputs, taking into account gender responsive approaches and responses
- Partnerships between and with local and grassroots women's rights or women led organizations, and/or capacity building of local and grassroots women's rights organizations to deliver programme results.
- Identification of comprehensive risks and appropriate mitigation measures

Sustainability and national ownership:

- Promotion of national and local ownership in developing and establishing activities, and specific objectives to build the capacities of national and local players.
- Sustainability of the programme beyond the financing period and (where applicable), how to reproduce it and improve it over time.

Programme management and monitoring:

- A clear capacity building plan for CSO partners is in place to deliver programme results, if relevant.
- Realistic activity schedule and implementation strategy to achieve objectives within the time frame. In general, projects should not last for more than 24 months.
- Identification of relevant and appropriate monitoring and evaluation approaches based on the results framework and indicators

Budget:

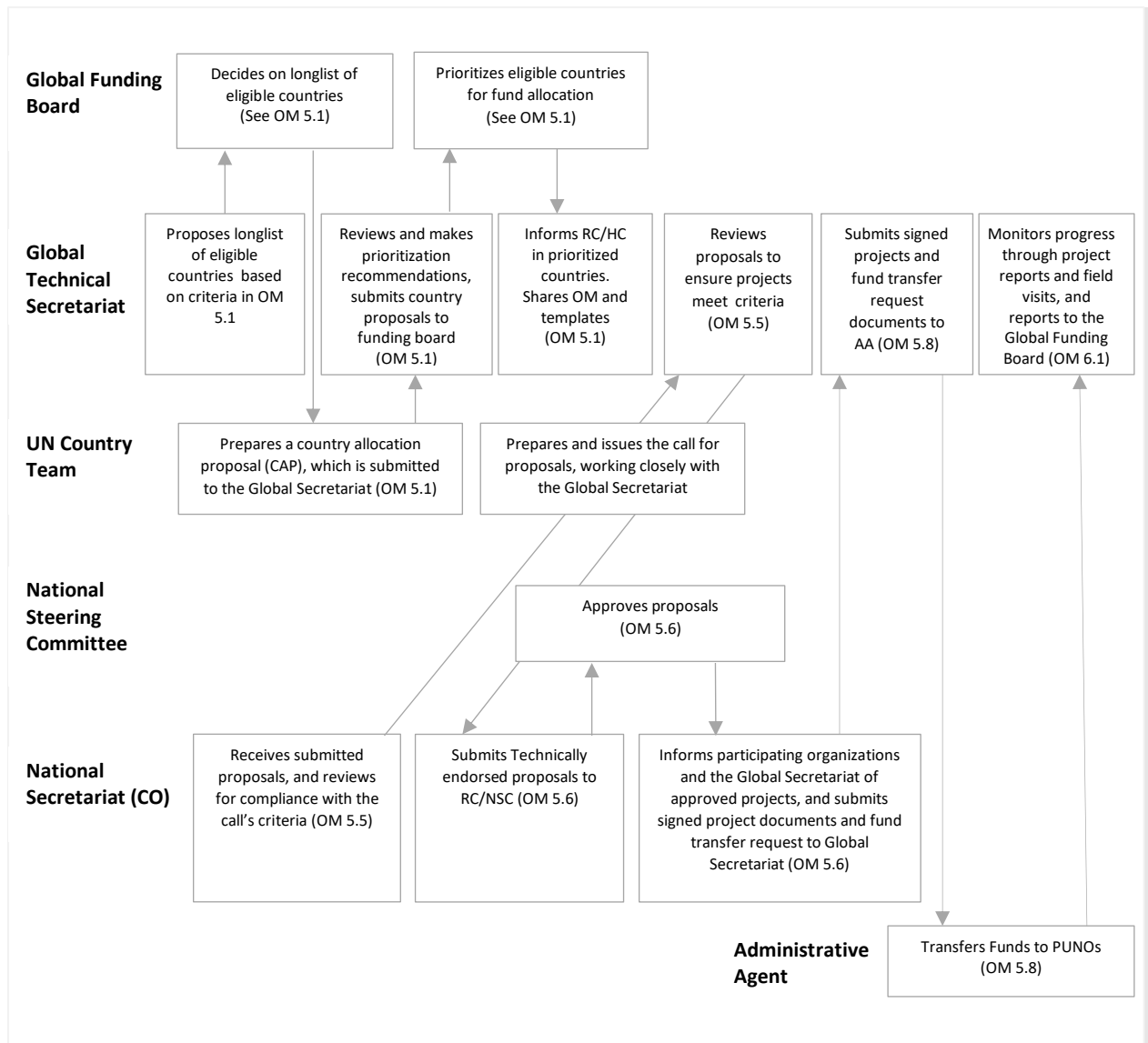
- The budget is sufficient and reasonable for the activities proposed and takes the scale of problems into account.
- The budget includes indirect operational costs at the allowed level (no more than 7%).

The Technical Secretariat will evaluate proposals within 10 days of the closure of the call for proposals for all regular tracks, where proposals are 100 or less. In cases where more than 100 proposals are received, more time may be needed. For targeted proposals under the emergency track, proposals will be evaluated within three days.

The Technical Secretariat shall submit shortlisted proposals to the national level steering committee confirming that they are technically sound; or recommending that the proposal is not approved because it does not meet minimum technical standards.

The model evaluation form for the Technical Secretariat reviews of WPHF proposals is found in Annex 18.

Figure 7: Project Approbation cycle of the Regular Funding Cycle



5.5. Decisions of the national level steering mechanism

The UN office at country level shall submit the technically endorsed proposals to the next meeting of the national level steering committee at least ten working days before the meeting. The country secretariat shall send members an annotated list of proposals submitted, and a dossier containing the results of the full technical examination, the Technical Secretariat’s recommendations and the full project proposals submitted.

The national level steering mechanism is then required to make one of the following decisions:

- To approve the proposal for funding
- To approve the proposal for funding, with reservations
- To return the proposal, recommending a more detailed examination, particularly if there is no consensus.
- To postpone the proposal for consideration at a later stage
- To reject the proposal, with a brief justification, by a consensus of all members

In addition, the national level steering mechanism can approve up to 5% of the available budget to be allocated to capacity building of CSOs.

Immediately following the meetings of the national level steering mechanism, the country level secretariat must communicate its decisions and:

- inform all the participating organizations of the decisions of the national level steering mechanism and indicate the next stages in the actual implementation of the project and launch of its activities;
- send the signed project documents approved by the national level steering mechanism to the Technical Secretariat along with the signed fund transfer request for onward transfer to the Administrative Agent so funds can be transferred in accordance with the procedures detailed in section 3.5 of this Manual.

5.6. Global level projects

In order to fulfil its mandate in terms of capacity-building, communication and knowledge management, the Funding board may decide to allocate funds to Global level projects. The global level projects may start in the second year and will be selected through a Call for proposals approved by the Funding Board and managed by the Technical Secretariat.

A Global Learning Hub (L-HUB) was established in 2021 under the Regular Funding Cycle to provide small-grants of a maximum of 10,000 USD to support institutional strengthening of current grantees who want to work in tandem with another CSO on a specific initiative. The process for approval of such projects follows the same as noted in Section 5.4.

5.7. Special windows

The Funding may decide on the establishment of specific funding windows to respond to emergencies and/or to provide specific support not covered by its regular funding stream. The Funding Board will then approve the governance structure and decision-making processes of these new windows, which will then be attached to this Operations Manual.

As of March 2023, the Funding Board has approved a COVID-19 Emergency Response Window (ERW) (opened in 2020 and closed in December 2022), as well as a Rapid Response Window (RRW) on women's participation in peace processes and the implementation of peace agreements in 2020, and a funding window for Women Human Rights Defenders (WHRDs) in 2021 (see respective Concept Notes in Annex 15 and 16).

Modalities of the WPHF rapid response window on women's participation in peace processes and the implementation of peace agreements:

The Rapid Response Window (RRW) addresses funding gaps for women peacebuilders and women's civil society organizations to influence and participate in formal peace processes and the implementation of peace agreements.

- **Direct Support:** A CSO requests a logistical and/or technical service (up to 25, 000 USD) in order to ensure women's meaningful participation in a formal peace process/peace agreement implementation. The RRW Unit or an INGO partner purchases and arranges the service on behalf of the CSO. The CSO benefits from the service to enable women's influence and/or participation in the formal peace process or implementation of the peace agreement.

- **Short-Term Grants:** A CSO requests a small grant (up to 100,000 USD) to implement a project that addresses women's meaningful participation in a formal peace process/peace agreement implementation. An INGO partner disburses and manages the grant and provides capacity building support to the CSO. Short-term grants under the RRW last a maximum of 6 months.

The Partner INGOs are recruited through a Global Call for Proposals managed by the Secretariat. Selection of partners falls under the responsibility of the Funding Board.

The decision-making process is as follows:

- An initial concept note from a local/national CSO may come under either of two RRW streams - Direct Support or Short-Term Grants. For Direct Support, this can be submitted by an individual, informal group of women peacebuilders or local/national CSO, or a consortium of CSOs with one CSO with a legal registration as lead. If the compliance criteria and the project design is aligned with the RRW objectives, CSOs will be invited to submit a full length proposal.
- The RRW Unit, hosted by the WPHF Secretariat, evaluates the proposal against a set of evaluation criteria.
- If a proposal requests over 10 000 USD (either in direct support or as a short-term grant), it is shared with the Technical Committee for approval. The RRW Unit will assess the urgency of the request and will submit the proposal for review through either the fast track (2 days review) or the normal track (4 days review). For amounts below 10,000 USD, the WPHF Secretariat proceeds directly with selecting or declining the request. For amounts above 70,000 USD, the Technical Committee will have 5 days to review

Modalities of the WPHF funding window for women human rights defenders:

The Funding Window for Women Human Rights Defenders (WHRDs) addresses funding gaps for the protection and safe participation of WHRDs from or working in conflict and crisis-affected contexts. The WHRD Window offers two forms of support to WHRDs:

- **Safety Net:** Individual WHRDs who face – or have faced – risks as a result of their activism around human rights or peace request an emergency protection grant up to 10,000 USD. The financial assistance is provided through NGO partners and is intended to support short-term livelihoods assistance, relocation costs, security equipment, legal assistance, and physical and mental health care.
- **Advocacy Support:** WHRD request logistical assistance to facilitate their participation, either individually or as a delegation, in a meeting, event, or decision-making process, at the national, regional, or international level, which contributes to advancing human rights and peace. The support is managed directly by the WHRD Unit, covering transportation, visa fees, accommodation, translation, daily subsistence allowance, and accessibility requirements for WHRDs living with disabilities.

The NGO Partners are recruited through calls for proposals managed by the WHRD Unit. Further to a shortlisting of applications and additional feedback from UN Women and OHCHR, the WPHF Board is responsible for the final selection of NGO partners.

The decision-making process is as follows:

- A request for support (proposal) from an individual WHRD or a delegation may come under either of the two WHRDs Window streams.
- The WHRDs Unit, hosted by the WPHF Secretariat, evaluates the proposal.
- Shortlisted Advocacy Support requests are shared with the WHRD Window Advocacy Committee for feedback and recommendations. The Head of the WPHF Secretariat takes the final decision on recommended proposals.
- Shortlisted Safety Net requests are shared with one of the WHRD Window NGO partners, based on geographical focus and expertise of these partners. NGO partners reserve the right to ask additional questions, apply their criteria and make the final decision.

Detailed modalities for both windows can be found in respective concept notes (Annex 15 and Annex 16).

5.8. Transfer and receipt of funds

Following approval by the national level steering mechanism or Funding Board, signature of the project documents by the duly authorized parties, the Technical Secretariat on behalf of the national level steering mechanism or Funding Board shall instruct the Administrative Agent to transfer the funds allocated to the participating organization(s). The Administrative Agent shall ensure that they are consistent with the applicable provisions of the Standard Administrative Agreement. Copies of the funds transfer note shall be transmitted to the Technical Secretariat.

The date of transfer of the funds shall then be adopted as the project's start-up date. This date shall be posted on the project's Gateway page. The organization shall note the programme number allocated to the programme by the MPTF Office; this number must be included in all reports and communications concerning the programme.

6. Reporting, Monitoring and Evaluation

6.1. Narrative reports

For each WPHF project approved for financing from the Fund (including global and Technical Secretariat projects), participating organizations must provide the Technical Secretariat with the following reports prepared in accordance with the report formats set by the Fund and appended to this Manual:

- Annual progress reports, to be provided within a maximum of three months of the end of the calendar year (a draft by 28 February, for final upload to MPTFO by 31 March).
- A final narrative report at the end of the project's activities, to be provided within the same time frame above. The annual progress and final narrative report can be the same and Mes will be guided each year on reporting requirements.

For its first year of operation, the Technical Secretariat will provide quarterly progress updates to the Funding Board.

The annual WPHF reports shall contain the following elements:

- A summary of the main results produced and their contribution in relation to the anticipated outcomes of the Fund as defined in the results framework and the project document;
- A qualitative assessment of the results;
- Analysis of the external risks and various internal operational factors;

- The principal challenges and lessons learned during implementation, and analysis of the actions taken to incorporate them;
- The performance indicators and updated data on outcomes and outputs;
- An intermediate financial report.

Reporting templates can be found in Annex 9.

The Administrative Agent will enter the data on the performance indicators into its results-based management system and generate a performance report for outcome indicators at the Fund level and the overall output projects performance. This will enable the WPHF to quantitatively report on its performance at the output and outcome level through the consolidated annual report and a specific Fund performance matrix.

The Administrative Agent will ensure that all project reports are uploaded on the respective pages of its web portal, the Gateway.

On the basis of the individual annual project reports and the performance matrix, the Technical Secretariat shall prepare a single consolidated annual or final narrative report.²⁸ This consolidated annual report will pay particular attention to the analyses of Fund performance in terms of impact, outcome and immediate results by taking into consideration the performance matrix and financial performance measurements provided by the Administrative Agent.

The consolidated annual narrative report shall be submitted jointly with the consolidated annual financial report for approval by the Funding Board between 7 and 12 May each year. In accordance with the schedule established in the memorandum of understanding and standard administrative arrangement, the Administrative Agent shall communicate the consolidated annual narrative and financial reports to the Contributors to the Fund on 31 May each year.

6.2. Financial reports

The annual financial reports and statements to 31 December in respect of the sums of money released from the Fund account shall be supplied by the relevant participating organization within a maximum of four months of the end of the calendar year (31 March). The participating organization shall submit these reports to the Administrative Agent. The financial reports shall be submitted in accordance with the harmonized format used by UNDG.

The final certified financial statements and final financial reports at the end of the project activities shall be supplied within a maximum of six months of the end of the year (30 June) following the operational closure of the Fund. The same submission procedure applies as that described above for the annual reports.

The Administrative Agent shall consolidate the various financial reports and products of the consolidated financial tables. It shall submit a consolidated annual financial report to Technical Secretariat each year for submission to the Funding Board. This shall include the following financial tables, in US dollars:

- General financial overview;
- Contributions by donors;
- Net amount of financing by specific WPHF outcome;

²⁸ Final in the case of closure of the Fund.

- Net amount of financing by WPHF project;
- Net amount of financing by participating organization;
- Total financial implementation rate by category;
- Financial implementation rate by specific outcome;
- Financial implementation rate by WPHF project;
- Financial implementation rate by participating organization.

These tables enable the performance of the financial indicators to be measured over the preceding year or cumulatively in relation to each level of result, as described previously in the various sections relating to the Fund results framework and monitoring and evaluation activities.

As specified above, the consolidated annual financial report shall be submitted jointly with the consolidated annual narrative report for approval by the Funding Board between 7 and 12 May each year. The Technical Secretariat shall then transmit the reports to the Administrative Agent, following approval, no later than 25 May each year. In accordance with the schedule established in the memorandum of understanding and standard administrative agreement, the Administrative Agent shall communicate the consolidated annual narrative and financial reports to the Contributors to the Fund on 31 May each year.

The Administrative Agent must also provide the Contributors and the Steering Committee with an annual certified financial statement on its activities as Administrative Agent within a maximum of five months of the end of the calendar year (31 May), and a final certified financial statement within a maximum of seven months (31 July) following the year in which the Fund closes the account.

6.3. Monitoring and evaluation

At the project level, PUNOs and/or NUNOs are fully responsible for monitoring project activities in line with the project results framework in the approved Project Documents. This monitoring should include field visits, spot checks, and regular reporting.

At the Fund level, the global Technical Secretariat is responsible for monitoring progress on behalf of the Funding Board, through quarterly update calls and field visits.

At the project levels, PUNOs and/or NUNOs are fully responsible for project evaluations in line with their rules and procedures. All project evaluations must be shared with the global Technical Secretariat and Administrative Agent for upload on the project page of the Gateway.

At the Fund level, there will be a mid-term evaluation after implementation of the first two and half years of the results framework to inform development of the next results framework. A subsequent evaluation will be undertaken in 2023, and again when the Funding Board deems necessary.

7. Revision, Extension, and Closure

7.1. Project revision

If a WPHF project or NUNOs project, that is in progress needs to be modified, the participating organization(s) concerned must submit a revised project document to the Technical Secretariat in accordance with the procedures for submission to the Funding Board and national level steering mechanisms as described in the section on approving projects. Revisions to WPHF projects are mandatory in the following cases:

- If there is a revision to the budget that results in an overrun of more than 20% of the funds between different budget categories; the revised budget must be approved in advance through the Technical Secretariat, assuming that there is no objection from the members of the Funding Board or national level steering mechanisms;
- If there is a modification to the results framework or to the intervention area, the corresponding request must be justified either by the recommendations of the UN Management Entity, NUNO or the beneficiaries;
- If additional time is needed for implementation, an extension of the WPHF project by the Funding Board or national level steering mechanism is required. An extension cannot exceed six months. The Secretariat informs the Administrative Agent of the extension.

7.2. Project closure

Operational closure refers to the project operational end date as stipulated in the project document approved by the Funding Board/Country Steering Committee. By that date, the project must have completed all programmatic activities, including submission of the final narrative project report.

PUNOs and/or NUNOs are encouraged to submit to the Technical Secretariat and the MPTF Office the final narrative reports on or before the operational closure date, when project personnel have not yet moved on to other assignments. For the closure of WPHF projects, the participating organizations must follow the following procedure and stages:

- Notify the Funding Board or national steering mechanism (through the Technical Secretariat or country level secretariat) and the Administrative Agent of the project's operational closure;
- Submit the final narrative report at the latest by 31 March of the year following the projects operational closure;
- On receipt of the final report, the Administrative Agent shall close operation of the WPHF project in its enterprise risk management system, ATLAS;
- Return any unspent available balance to the Administrative Agent by bank transfer in favor of the Fund; and
- Submit the certified financial statements to the Administrative Agent within a maximum of five months (31 May) after the end of the calendar year in which the financial closure of the activities in the approved programmatic document occurs, or according to the time period specified in the financial regulations and rules of the Participating UN Organization and/or Non-UN Organization, whichever is earlier.

After validation, the Administrative Agent shall then financially close the programme in its system and report back accordingly to the Funding Board, through the Technical Secretariat.

7.3. Fund extension

The fund extension procedures stipulate transparent decision-making regarding the strategic value of extending a Fund's operational end date, while weighing up the programmatic and financial implications.

About 12 months before the Fund's operational end date, the Funding Board will commission an independent evaluation/lessons learned exercise to obtain a systemic evaluation of fund achievements and an examination of the pros and cons of fund extension, incorporating feedback from Participating Organizations, the Technical Secretariat, the MPTF Office and other

stakeholders. The evaluation exercise will conclude with the publication of an evaluation report. Discussions with the Funding Board members to take into consideration programmatic and financial viability issues will guide the drafting of a fund extension proposal by the Technical Secretariat.

Funding Board approval is necessary for the extension of the fund operational end date. This decision will be informed by the evaluation report and the recommendations of the Technical Secretariat and the MPTF Office. Minutes must be signed by the Funding Board Chair.

A decision to decline extension initiates the Fund's operational closure process. Approval of an end date extension requires the preparation and signature of various documents, including: (i) updated Fund TOR (if there was also a change in fund scope); (ii) MOU/SAA extensions; and (iii) Gateway updates.

7.4. Fund closure

The fund operational and financial closure process will document achievement of fund scope and objectives. It will also ensure that decisions regarding the use of the balance of funds are made in a transparent and fully informed manner.

With the completion of the independent evaluation report and the operational closure of all projects, the necessary conditions are in place for the Technical Secretariat, the Funding Board and the MPTF Office to work jointly on the final steps in the fund's lifecycle. Considering that in this phase the Funding Board may meet for the last time and the fund Secretariat may be winding down, it is of interest to focus on timely execution of the fund's closure process, working with the fund governance structures while still in place.

An important element in this phase is the preparation of the final narrative report, which provides stakeholders with an overview of relevant high-level results against the original fund purpose as per the Fund TOR. Another key aspect is the decision-making on the use of the balance of funds and potential development of a new fund with an adjusted configuration.

The SAA language states that 'any balance remaining in the fund account will be used for a purpose mutually agreed upon or returned to the donor in proportion to its contribution to the Fund'. Though the overall decision is the outcome of a consultative process, individual donors have the option to decide on the use of their portion of the fund balance.

Once the first balance of funds has been transferred, subsequent transfers will consist of Participating Organization refunds (and possibly Participating Organization interest) and fund earned interest. Reflecting the complexity and costs associated with multiple donor refunds, refunds due to donors will be calculated and paid no more than once annually.

The methodology used in this process should be consistent throughout the financial closure process, specific to whether funds were earmarked or unearmarked, and clearly documented. For unearmarked funds, a percentage is determined for each donor, based on their proportion of total donor contributions to the Fund (since inception). This is applied to the fund balance and an 'amount per donor' is calculated which can be transferred to another fund or refunded to the donor.

To promote efficiency, the final narrative report is planned and produced as an integral part of the annual reporting process. The timeline for preparation of this report as per the MOU and SAA is

extended up to the 30 June after the end of the calendar year in which the operational closure of the Fund occurs.

The final consolidated financial report, based on certified final financial statements and final financial reports received from Participating UN Organizations and/or Non-UN Organization after the completion of the activities in the approved programmatic document, including the final year of the activities in the approved programmatic document, will be provided no later than five months (31 May) after the end of the calendar year in which the financial closing of the Fund occurs. The final Source and Use Of Funds (SUOF)/certified final financial statement is also produced as part of the annual SUOF preparation process.

8. Risk Management

8.1. Overview of the WPHF's Risk Management Strategy

The WPHF will actively manage risk through informed risk management practices. The governance structure of the WPHF offers an opportunity to develop a common understanding of the risk context and mitigation measures. The WPHF uses the following definitions:

- **Risk** – the uncertainty that affects the outcome of activities or interventions.²⁹
- **Risk assessment** – the process to determine the nature and extent of risk by analyzing hazards and evaluating existing conditions of vulnerability that together could potentially harm exposed people, property, services, livelihoods, and the environment on which they depend. A comprehensive risk assessment not only evaluates the magnitude and likelihood of potential losses but also provides full understanding of the causes and impact of those losses.³⁰
- **Risk management** – to all activities required to identify and control exposure to risk that may impact results. The role of risk management is to limit exposure to an acceptable level of risk in relation to the expected gain by taking action to reduce the probability of the risk occurring and its likely impact.³¹

The WPHF shall structure its risk analysis in terms of the source of risk:

- **The broader context:** risks emanating from the broader country context. For example: the risk of state failure, or return to conflict, etc.;
- **The fund's governance/strategy:** risks emanating from the fund's ties to a broader governance or aid architecture. For example: fund allocations not aligned to strategic objectives and/or poorly prioritized fund allocations; and
- **The fund's programmes and operations:** risk emanating from programme design and implementation. For example: weak capacity of implementing partners; diversion of funds; poorly designed fund interventions.

In line with the UNDG risk management framework,³² in order to leverage its risk management potential, the WPHF will develop a Fund Risk Management Strategy. The main purposes of the fund risk management strategy are to:

²⁹ DFID (2011).

³⁰ UNDP BCPR *Factsheet - Disaster Risk Assessment*.

³¹ DFID (2011).

³² UNDG (draft March 2015).

- accelerate delivery and increase fund impact;
- ensure that fund operations 'do no harm';
- verify that funds are used for their intended purpose, and
- build risk management capacity of national institutions.

In particular the WPHF's fund risk management strategy:

- Develops a shared understanding of the risks facing the fund, including identifying knowledge gaps in risk analysis;
- Defines the fund's risk tolerance or appetite (fund risk profile);
- Establishes the fund's policies in relation to identified risks (fund risk policy);
- Identifies or clarifies trade-offs and seeks consensus among stakeholders on how to manage them;
- Determines risk treatment through mitigation measures or adaptation; and
- Identifies risk owners, monitors the direction of risk travel and defines follow-up action; and
- Sets out common reporting and messaging strategies.

The risk management strategy is reflected in its allocation criteria, including geographic and thematic priorities and project partner selection criteria. All projects applying for funding will need to comply with the fund's risk policy, tolerance, and other requirements (e.g. do no harm analysis, etc.). Compliance with the fund's risk policy and tolerance will be one of the selection criteria in the project appraisal process.

8.2. Steps for developing its risk management strategy

Develop a common understanding of the risks facing the fund

The Funding Board reached a common understanding of the main risks facing the fund. The Technical Secretariat, in consultation with other stakeholders, conducts a risk assessment to identify the key risks. Information is sought from various sources including internal incident data, audits, key informant interviews, questionnaires and open-source data.³³ Consideration should also be given to the specific risk drivers and outcomes.

In line with the UNDG risk management framework, once the risks have been identified, the Secretariat will rate each risk in order to ensure it comes up with the appropriate level of response. For each risk, the likelihood that it may materialize and the impact or consequence it would have in the absence of any mitigating actions (i.e. inherent risk levels) is estimated. The results of such an assessment can be presented in a risk ranking matrix (see Figure 8). The risk ranking matrix shows the hierarchy of risk at different levels, allowing an assessment of the most appropriate responses to the identified risks, particularly to those risks most likely to impede success (very high and high).

Figure 8: Risk Ranking Matrix

	Consequences				
Likelihood	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Extreme (5)
Very Likely (5)	Medium (5)	High (10)	High (15)	Very High (20)	Very High (25)

³³ UNDG (draft March 2015).

Likely (4)	Medium (4)	Medium (8)	High (12)	High (16)	Very High (20)
Possible (3)	Low (3)	Medium (6)	High (9)	High (12)	High (15)
Unlikely (2)	Low (2)	Low (4)	Medium (6)	Medium (8)	High (10)
Rare (1)	Low (1)	Low (2)	Medium (3)	Medium (4)	High (5)

Figure 9: Level of Risk and Response

Level of Risk	Response
Very High	Immediate action required by executive management. Mitigation activities/treatment options are mandatory to reduce likelihood and/or consequences. Risk cannot be accepted unless this occurs.
High	Immediate action required by senior/executive management. Mitigation activities/treatment options are mandatory to reduce likelihood and/or consequences. Monitoring strategy to be implemented by risk owner.
Medium	Senior management attention required. Mitigation activities/treatment options are undertaken to reduce likelihood and/or consequences. Monitoring strategy to be implemented by risk owner.
Low	Management attention required. Ownership of risk specified. Mitigation activities/treatment options are recommended to reduce likelihood and/or consequence. Implementation of monitoring strategy by risk owner is recommended.

Risk monitoring, costs, and reporting

Risk monitoring can be distinguished at two levels:

- Monitoring of the risks (likelihood, impact, new risks). The frequency of monitoring depends on the nature and level of the risk. For example, security risks may require frequent monitoring, whereas monitoring the health of a banking system may take place every 6 months.
- Monitoring of the treatment measure itself for effectiveness and potential second-order risks.

Risk monitoring may be captured in a risk dashboard (see template below).

Risk	Risk Drivers	Risk outcomes	Mitigation options	Adaptation options	Monitoring	Owners

The WPHF Technical Secretariat will report to the Funding Board on issues related to risk and update the risk ranking matrix (Annex 12) and risk monitoring table (Annex 13) annually as needed.