

ELSIE INITIATIVE FUND FOR UNIFORMED WOMEN IN PEACE OPERATION (EIF) OPERATIONS MANUAL VERSION 1.0		
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This Operations Manual is not a legal document. It describes the governance structure and the operating principles, guidelines and procedures for the day-to-day operations of the Elsie Initiative Fund for Uniformed Women in Peace Operations (hereinafter referred to as the “EIF”) – a United Nations Multi-Partner Trust Fund. In case of conflict, the [EIF Terms of Reference \(TOR\)](#), along with terms set out in the [Memorandum of Understanding \(MOU\)](#) signed between a Participating United Nations Organization (PUNO) and the United Nations Development Program (UNDP), the Memorandum of Agreement (MOA) signed between a Troop / Police Contributing Country (T/PCC) Government and the UNDP, and a [Standard Administrative Arrangement \(SAA\)](#) signed between a Contributor and the UNDP Multi-Partner Trust Fund Office (MPTFO), would normally take precedence over this Operations Manual.

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1 1.0 Definitions

- 1.1 **Administrative Agent (AA):** A United Nations Organization (may also be a Participating United Nations Organization - PUNO), who administers funds received from contributors, in accordance with the Memorandum of Agreement (MOA), Memorandum of Understanding (MOU) and Standard Administrative Arrangement (SAA). The AA for the EIF is the United Nations Development Program (UNDP) Multi-Partner Trust Fund Office (MPTFO); the MPTFO accepts this appointment on the understanding that fund recipients assume full programmatic and financial accountability for funds disbursed to them by the AA. Copies of the MOA, MOU and SAA are on the [MPTFO webpage](#) – Documents tab.
- 1.2 **Participating UN Organisations (PUNO).** A United Nations Organization or other intergovernmental Organization that is an implementing entity in a Fund, as represented by signing an MOU with the MPTFO for a particular Fund. PUNOs have established mechanisms to receive funds and implement activities including through national authorities and Civil Society Organizations (CSOs) as implementing partners; PUNOs however, retain full financial and programmatic accountability, using their respective standard arrangements and procedures for transferring funds to Implementing Partners.
- 1.3 **National Government.** Where a National Government is the fund recipient—and therefore implementing entity, all activities undertaken by the Troop / Police Contributing Country (T/PCC) must be in accordance with the National Government’s National Regulatory Framework and the T/PCC’s applicable national laws, regulations and procedures, provided they do not contravene the principles set out in UNDP’s regulations and rules.
- 1.4 **Fund Recipient / Implementing Entities:** An EIF fund recipient can be either a:
 - 1.4.1 **National Government**, as represented by signing a MOA with the MPTFO, or a
 - 1.4.2 **PUNO** which includes United Nations Agencies, Funds, Programs (AFP) and United Nations missions, as represented by signing an MOU with the MPTFO.
- 1.5 **Beneficiary:** the organisation or institution that benefits from EIF funding support, i.e., a security institution - Gendarmerie, Military, or Police; or a UN mission.
- 1.6 **Implementing Partner (sub-grantee):** a partner organisation implementing activities in accordance with the signed project document (PRODOC) under the financial and programmatic responsibility of a PUNO or national government through which they receive funds. An implementing partner can be a T/PCC or CSO.

2 2.0 Introduction

- 2.1 This Operations Manual describes the EIF’s governance structure and operating principles, along with guidelines and procedures for the EIF’s day-to-day operations. The manual details approaches and policies that have been operationalized by the EIF Secretariat, including with EIF Contributors, the EIF’s Steering Committee (SC) and Technical Committee (TC), the Department of Peace Operations (DPO), the MPTFO and EIF fund recipients. As such, the Operations Manual is designed

to be used primarily by the EIF Secretariat, EIF fund recipients, EIF principal stakeholders and partners.

- 2.2 **Objectives of the EIF.** The EIF aims to support and incentivize efforts to increase the meaningful participation of uniformed women in United Nations peace operations. Established by the United Nations, Canada and Member States in 2019, the EIF is an innovative, multilateral fund that aims to accelerate progress towards the United Nation’s gender targets established in Security Council resolutions and the [United Nations Uniformed Gender Parity Strategy 2018-2028](#) (UGPS).
- 2.3 **Stakeholders.** EIF stakeholders include Contributors, United Nations member states, DPO, T/PCCs – Military and Police Advisors and members of their Security Forces, PUNOs, EIF SC and TC members, DCAF – the Geneva Centre for Security Sector Governance, CSOs, Research Institutions (RI), and Military and Police women’s networks.
- 2.4 **Contributors.** Contributors, and details of contributor’s deposits and commitments to the EIF are listed on the [MPTFO webpage](#), under the contributor tab.

3 3.0 EIF Financing Modalities

- 3.1 **EIF Financing Modalities.** The EIF can provide grants under the following two modalities:

- 3.1.1 **Flexible Project Funding (FPF)** for eligible projects, including for:

- 3.1.1.1 the conduct of a Barrier Assessment (BA), using either the DCAF [Measuring Opportunities for Women in Peace Operations \(MOWIP\)](#) methodology, or a credible national BA methodology in accordance with Appendix 1 of the [EIF Terms of Reference \(TOR\)](#) - BA Criteria, and

- 3.1.1.2 approved activities and associated budget, as detailed in the PRODOC.

Note: A T/PCC must have completed and submitted a BA report to the EIF Secretariat, to then be eligible to access FPF.

- 3.1.2 **Gender Strong Unit (GSU) Premium.** The [EIF TOR](#) (Section 3.5 – Financing Modalities), defines a GSU and the calculation to determine a GSU premium. The GSU premium can be requested for up to three years and is paid directly to a T/PCC on conclusion of the GSU’s deployment (usually 12-months). Payment of the GSU is conditional on meeting the GSU requirements described in the [EIF TOR](#) (Section 3.5) and detailed in the EIF GSU Assessment Template (Annex A).

4 4.0 Governance of the EIF

- 4.1 **EIF Steering Committee**

- 4.1.1 **Composition.** The EIF SC consists of the following members:

- 4.1.1.1 Canada, as founding member and Co-Chair for a period of five (5) years (2019-2024), with the option to renew membership and Co-Chair position thereafter.

- 4.1.1.2 Three permanent members:

- 4.1.1.2.1 DPO,

- 4.1.1.2.2 the Executive Office of the Secretary-General (EOSG) and

- 4.1.1.2.3 UN Women. UN Women, as the host of the EIF Secretariat, is a Co-Chair, alongside Canada.
- 4.1.1.3 Three countries, each with a two-year rotating membership:
 - 4.1.1.3.1 a contributor to the EIF, being the highest contributor after Canada. Should the second highest contributor be the same as at the contributor rotation date, the contributor would remain the same,
 - 4.1.1.3.2 a T/PCC member that is [Official Development Assistance](#) (ODA) eligible, selected by UN Women as Co-chair, and
 - 4.1.1.3.3 a member of the Canada-led [Elsie Initiative Contact Group](#), also selected by UN Women as Co-chair.
- 4.1.1.4 Current and previous EIF SC members are listed on the [EIF website](#).
- 4.1.2 **Roles and Responsibilities.** In addition to the [EIF TOR](#) (Section 4.2 – SC), which details the SC’s main roles and responsibilities, the SC has the following responsibilities, to:
 - 4.1.2.1 **Endorse** the EIF Operations Manual prepared by the EIF Secretariat.
 - 4.1.2.1.1 Substantive updates to the EIF Operations Manual can be endorsed by the UN Women Co-chair and briefed at the next SC meeting. Should there be a conflict of interest, substantive updates would be brought to the SC for endorsement.
 - 4.1.2.1.2 Non-substantive changes to the Operations Manual (such as edit changes to clarify terminology) will be incorporated by the EIF Secretariat.
 - 4.1.2.2 **Commission** formative review, summative evaluation and ex-post independent evaluations on the overall performance of the EIF and its impact in relation to the EIF’s objectives, as per the EIF Monitoring and Evaluation Framework (MEF) (2022) at Annex B. Procurement of the evaluation services will be conducted by the EIF Secretariat as per extant UN Women policy and procedures.
 - 4.1.2.3 **Approve** the extension of the EIF MPTF’s duration. Based on consultations with relevant stakeholders, the EIF Secretariat will prepare proposals for the EIF’s extension in consultation with the MPTFO and seek decision and approval from the EIF SC.
- 4.1.3 **Decisions**
 - 4.1.3.1 The [EIF TOR](#) (Section 4.2.1) articulates the role of the SC, with decisions made by the SC to be recorded by the EIF Secretariat in SC meeting minutes.
 - 4.1.3.2 Decisions the UN Women Co-chair can make include:
 - 4.1.3.2.1 Final decision on project funding allocations and requests for programmatic or financial modification requests, unless there is a conflict of interest, in which case DPO would be the Co-chair.
 - 4.1.3.2.2 Funding approval for BA projects.
- 4.1.4 **Meetings**

- 4.1.4.1 The [EIF TOR](#) (Section 4.2) requires SC meetings to be conducted on an ad hoc basis, but at minimum twice a year, and to be convened and led by the United Nations Co-Chair.
 - 4.1.4.2 The SC can also be consulted through email meetings, including seeking endorsement for FPF and GSU premium proposals, in accordance with EIF programming round cycles.
 - 4.1.4.3 The EIF Secretariat will arrange SC meetings in accordance with the following timeframes:
 - 4.1.4.3.1 **In person / hybrid meetings:** the EIF Secretariat will inform SC members of the SC meeting date at least four weeks prior to the meeting. The EIF Secretariat will email to the SC, the proposed agenda, supporting documents, minutes of the previous meeting two weeks prior to the SC meeting.
 - 4.1.4.3.2 **Email consultation:** where the EIF Secretariat is seeking a SC decision including the endorsement or otherwise of a detailed project proposal, the EIF Secretariat will allow a period of two weeks for SC members to review and respond by email.
 - 4.1.4.4 SC in person / hybrid meetings, the EIF Secretariat will:
 - 4.1.4.4.1 draft SC meeting minutes,
 - 4.1.4.4.2 circulate SC meeting minutes to the SC for final comments / corrections / updates within a 2-week timeframe, and
 - 4.1.4.4.3 email the SC meeting minutes final version to the SC within a 2-week timeframe.
 - 4.1.5 **Avoidance of Conflict of Interest.** The SC represents the decision-making body of the EIF. As such, any conflict or potential conflict of interest is to be avoided. Representatives appointed as members of the SC shall not have any direct personal interest (such as personal financial gains as employees, consultants, individual contractors whether individually or through corporate ownership, participation or benefit), or those of their family members or their direct supervisor/s, of private or professional nature, in any of the project proposals submitted for funding or under implementation by their own Country or PUNO under the MPTF.
 - 4.1.6 SC members must declare immediately should they identify such conflict and either stand aside from decision making, or for their organization to propose an alternative representative to the SC.
- 4.2 **EIF Technical Committee**
- 4.2.1 **Composition.** The [EIF TOR](#) (Section 4.2.3 – TC) states the EIF TC will consist of 3 or 4 technical specialists to assist the EIF Secretariat on an ad-hoc basis, providing additional expertise on women in peace operations.
 - 4.2.2 The EIF SC invited and appointed nine TC members, including from: DPO (Office of Military Affairs (OMA), Police Division (PD) and Security Sector Reform (SSR)), a military gender

advisor, CSOs and academia. TC participation and membership can vary depending on TC member availability and expertise required.

4.2.3 **Responsibilities.** The [EIF TOR](#) (Section 4.2.3 – TC) details the TC roles and responsibilities.

4.2.4 **Meetings.** The EIF Secretariat conducts TC meetings to seek TC advice on the following:

4.2.4.1 All Letters of Interest (LOIs) received by the EIF Secretariat during each Programming Round (PR): to pre-select and decide on which LOIs will be invited to submit a detailed proposal.

4.2.4.2 All detailed project proposals received by the EIF Secretariat, prior to EIF Secretariat submission to the:

4.2.4.2.1 SC: for FPF and GSU premium proposals, or

4.2.4.2.2 UN Co-chair: for BA proposals, and

4.2.4.2.3 EIF strategies, proposed plans and other key EIF Secretariat documents as necessary.

4.2.4.3 At all meetings where LOIs and detailed project proposals are discussed and TC guidance is received, the EIF Secretariat Project Focal Point (PFP) will:

4.2.4.3.1 draft TC meeting minutes using the TC Meeting Minute Template (Annex C),

4.2.4.3.2 circulate TC meeting minutes to the TC for final comments / corrections / updates, within a 5–7-day timeframe, and

4.2.4.3.3 email the final version of the TC meeting minutes to the TC within a 5- 7-day timeframe.

4.3 **Administrative Agent (AA): MPTFO**

4.3.1 **Roles and Responsibilities.** The [EIF TOR](#) (Section 4.2.4 – AA) details the AA’s roles and responsibilities.

4.4 **EIF Secretariat**

4.4.1 **Composition.** The [EIF TOR](#) (Section 4.2.2 – Secretariat) states that the EIF Secretariat must count on at least:

4.4.1.1 a Fund manager with relevant technical expertise and capacity (P4/5 level),

4.4.1.2 a Programme Associate (GS6 level), and

4.4.1.3 an Analyst (P3 level),

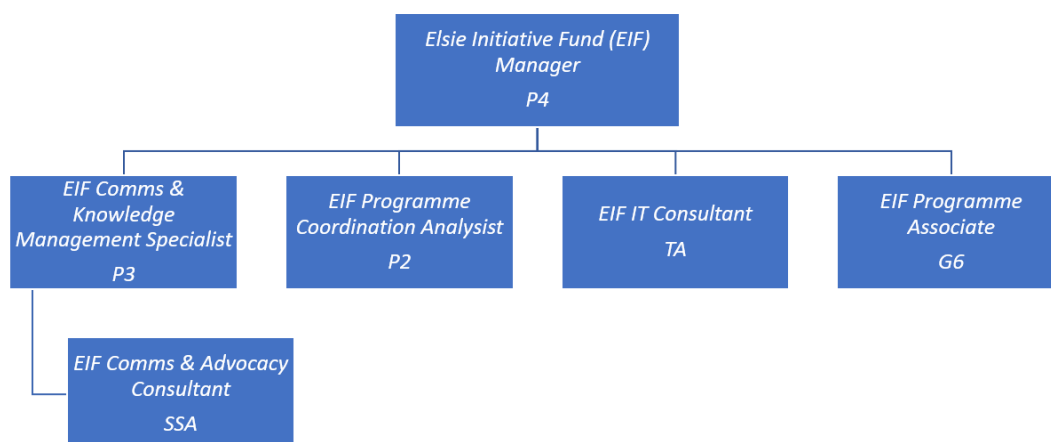
4.4.1.4 and, that the EIF Secretariat will be resourced to conduct due diligence of proposals and monitoring and evaluation procedures, with resourcing from either the:

4.4.1.4.1 creation of additional positions in the EIF Secretariat,

4.4.1.4.2 funding to outsource those functions, or

4.4.1.4.3 a combination of both.

4.4.2 The EIF’s organogram as of 31 July 2022 is as follows, with the EIF Secretariat Manager accountable for the overall management and strategic direction of the EIF Secretariat.



4.4.3 As part of the EIF’s strategic planning process, the EIF Manager has overall responsibility to identify the EIF’s required human resources (through the most appropriate HR contract modality and / or procurement activity, IAW UN Women PP&G).

4.4.4 The EIF Manager will seek annual SC approval for the EIF budget as presented in the EIF’s annual workplan and recorded as general operating and other direct costs, as per the eight United Nations Sustainable Development Group (UNSDG) budget categories.

4.4.5 On conclusion of the EIF initial 5-year pilot (March 2019 – March 2024), the EIF manager will close the EIF Secretariat 5-year project and submit an updated PRODOC and budget for ‘EIF Phase 2’, to the EIF SC for endorsement.

4.4.6 **Roles and Responsibilities.** The EIF roles and responsibilities are detailed in the [EIF TOR](#) (Section 4.2.2). Individual roles and responsibilities are as per the Position’s Duty Statement.

5 5.0 Fund Administration

5.1 **AA.** The EIF is administered by the UNDP MPTFO – the EIF’s AA, under the pass-through management modality. The MPTFO online EIF portal includes real-time financial data, annual reports, data on EIF Contributors and funded projects: <https://mptf.undp.org/fund/eif00>. The MPTFO’s administration services are calculated at 1% of received contributions.

5.2 **Financial Contributors.** The [EIF TOR](#) (Section 4.2.6 – Contributors) contains information on financial contributions to the EIF. Contributions can be received from a range of sources, including governments, non-governmental organization (NGO), foundations and the Private Sector. Contributors wishing to contribute to the Fund must sign an SAA with the MPTFO, which sets out the MPTFO’s terms and conditions governing the receipt and administration of the contribution and related reporting requirements. The EIF must also conduct due diligence on any contributor that is not a Government, in accordance with UNDP’s Private Sector Risk Assessment guidelines.

5.3 **Contributions from NGOs, Foundations or the Private Sector.** Prior to receiving contributions from NGOs, Foundations or the Private Sector the EIF Secretariat will:

5.3.1 consult with the MPTFO,

- 5.3.2 seek agreement from the SC,
 - 5.3.3 conduct the required due diligence on the organisation(s), and
 - 5.3.4 email the due diligence request to the MPTFO for approval and authorization or otherwise.
- 5.4 As the EIF is a multi-partner trust fund (MPTF) – a type of pooled funding modality under the UNSDG governance mechanism¹, contributions cannot be tied or earmarked to a specific recipient organisation or for a particular type of activity or project.
- 5.5 **Fund Recipient.** An EIF fund recipient can be either a:
- 5.5.1 **T/PCC** – a government, with the application submitted directly by a T/PCC Security Institution – Gendarmerie, Military or Police, or
 - 5.5.2 **PUNO**, either in:
 - 5.5.2.1 partnership with a T/PCC i.e., UN Women or UNDP; or
 - 5.5.2.2 direct support to a United Nations activity i.e., a project in a United Nations mission.
- Note:** A CSO cannot be a direct EIF fund recipient, however in all cases, a T/PCC or a PUNO can partner with implementing partner(s) including CSOs; therefore, CSOs may receive funds from a T/PCC or one or more PUNOs.
- 5.6 **Eligibility.** Eligibility criteria is detailed in the [EIF TOR](#) (Section 4.2.5 Recipient Organisations).

6 6.0 EIF Stakeholders and Partners

- 6.1 The EIF Secretariat works closely with its principal stakeholders as follows:
- 6.1.1 **Contributors.** The EIF receives significant financial support from a number of governments (see [MPTFO EIF webpage](#) for up-to-date contributions).
 - 6.1.2 The EIF can also receive contributions from a range of sources including NGOs, foundations and the Private Sector. Prior to EIF receipt of any funding or in-kind support from the Private Sector, the EIF, in consultation with the MPTFO, will contract a consultant to conduct the due diligence on the prospective contributor, seek EIF SC endorsement of the private sector organisation, with final approval to be provided by the MPTFO.
 - 6.1.3 The EIF engages with current contributors through a variety of mediums including through the conduct of its annual donor and stakeholder meeting, and for each project approved by UN Women. EIF Contributors are invited to the launch of each programming round launch, are regularly tagged by the EIF through social media, and receive the EIF Annual Report on 31 May annually.
 - 6.1.4 **UN Women.** UN Women is a signatory to the MOU. As host of the EIF Secretariat, UN Women is also the United Nations Co-Chair, a responsibility that rests with UN Women Executive Director (ED) and is delegated to UN Women Deputy Executive Director (DED) Strategic Partnerships, Co-ordination and Intergovernmental Support.

¹ United Nations Sustainable Development Cooperation Framework: https://unsdg.un.org/sites/default/files/2019-10/UN-Cooperation-Framework-Internal-Guidance-Final-June-2019_1.pdf

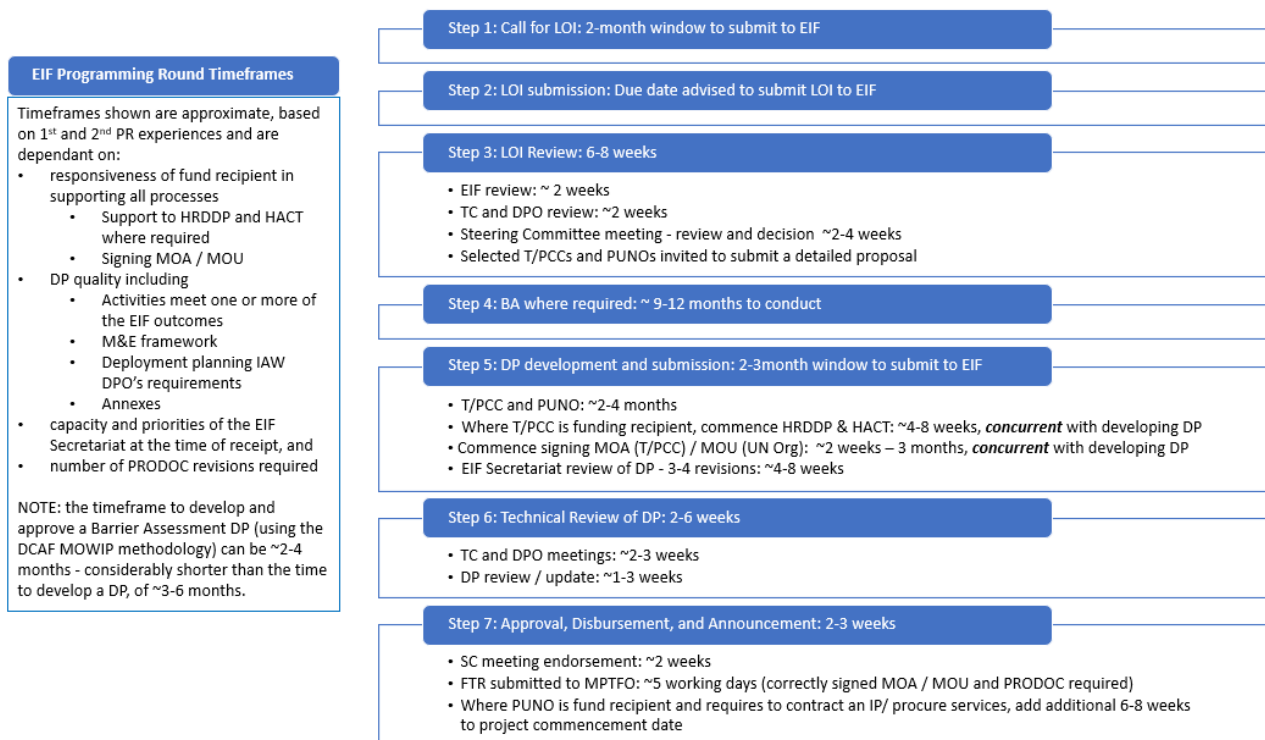
- 6.1.5 Engagement between the EIF and UN Women is conducted at multiple levels, including with UN Women Regional/Country Offices, UN Women’s Women, Peace and Security (WPS) community of practice, and through consultations with UN Women EIF project focal points.
- 6.1.6 **PUNOs.** PUNOs play an important support and advisory role through their participation in EIF project proposal review, and EIF decision-making activities. PUNOs also play an important capacity building role when partnering with T/PCCs to design and implement projects including through the provision of technical and gender expertise capacities, support to reporting and M&E requirements, and the establishment of an ongoing support and capacity building relationship post conclusion of the project.
- 6.1.7 The EIF engages routinely with PUNOs and their Regional/Country Offices, as well as the United Nations Resident Coordinator’s Office (RCO) where required, to support project development and implementation, advocate for submissions to the EIF and women in peacekeeping (WinPK) more broadly.
- 6.1.8 **DPO.** The DPO is a strategic partner for the EIF, with the EIF being a key instrument in complementing DPO’s advocacy and engagement with T/PCCs on how to increase the numbers of uniformed women who deploy to United Nations peace operations - across all ranks, and leadership, command and technical positions.
- 6.1.9 DPO are members of the EIF SC and TC; in addition to the direct support to the EIF in reviewing LOI and DPs, the EIF and DPO consult frequently to strategize across a number of WPS and WinPK activities and issues.
- 6.1.10 **T/PCC.** Existing and potential T/PCCs – as beneficiaries of the EIF, are vital partners of the EIF. Noting the importance of national ownership of the design and implementation of a project, the EIF Secretariat provides technical advice and guidance to T/PCC penholders to support T/PCCs in developing project proposals and to build capacity including gender capacity and project management skills within the security institution.
- 6.1.11 **EIF SC.** The EIF SC is a vital stakeholder for the EIF; the EIF Secretariat engages routinely with EIF SC members individually and as the SC in full, as described in Section 3 above.
- 6.1.12 **EIF TC.** The EIF TC is also a vital stakeholder for the EIF; the EIF Secretariat engages routinely with EIF TC members individually and as the TC, as described in Section 3 above. The EIF Secretariat also consults with TC members to strategize across a number of WPS and WinPK activities and issues.
- 6.1.13 **Other stakeholders.** Other stakeholders the EIF consults / engages with include DCAF, Cornell University Gender and Security Sector Laboratory (GSS lab), research institutions such as RESDAL – the Latin American Security and Defence Network, the International Peace Institute (IPI), the Organisation internationale de la Francophonie (OIF), and Military and Police Women’s Networks.

7 7.0 Programmatic Arrangements

- 7.1 **Programming Cycle.** The [EIF TOR](#) (Section 5.1 – Programming Cycle) outlines the steps to be taken for each programming round; prior to the commencement of a programming round these steps can be updated or refined following EIF process review.

7.2 This section provides additional detail on actions and activities the EIF Secretariat undertakes for each programming round. Timeframes to conduct each step do and will vary, and Figure 1 below provides an approximation of timeframes and key factors and processes that will influence these timeframes.

Figure 1: EIF Programming Cycle



7.2.1 **Step 1: Call for Letters of Interest (LOI).** The EIF Secretariat will advise the commencement of each programming round to all T/PCCs, through a Note Verbale (NV) to Member State’s Permanent Missions to the United Nations; the NV will be accompanied by a Call for LOIs. The programming round launch will also be advertised on the [EIF website](#), through UN Women, DPO and [EIF social media channels](#), and supported through amplification by EIF Contributors, partners and stakeholders.

7.2.2 To support the programming round launch and call for LOI, the EIF Secretariat will:

- 7.2.2.1 conduct a Launch Event to inform all EIF stakeholders, partners and interested parties, of the programming round launch, LOI submission date, and highlight the Fund’s impact to date,
- 7.2.2.2 conduct Technical Briefings for EIF stakeholders, prospective implementing entities and partners, and beneficiaries on the technical aspects of the EIF,
- 7.2.2.3 conduct separate briefings targeting different stakeholders on (i) how to apply to the EIF, (ii) funding modalities, (iii) the requirement for, and the conduct of a BA, and
- 7.2.2.4 ensure the EIF Application Guidelines (Annex D), LOI Template (Annex E), DP Templates (Annex F) and additional tools to support submission of completed LOIs (and subsequently DP) are accessible on the EIF website (*web or MS Word based*), by the programming launch date.

- 7.2.3 **Step 2: LOI submission.** T/PCC and fund recipients are requested to complete the LOI in full—including all annexes and submit to the EIF Secretariat either online or via email (elsie.mptf@unwomen.org), IAW the EIF Application Guidelines (Annex D), and no later than the LOI submission closing date.
- 7.2.4 It is important that T/PCCs and PUNOs read and understand the following DPO guidance - and ensure it is considered during the development of their LOI and proposed activities.

DPO Guidance - Deployment Planning for United Nations Peace Operations

Applicants to the EIF are to **note** that it is the United Nations Department of Peace Operations - Office of Military Affairs and Police Division, who has the authority to select and deploy T/PCC personnel to United Nations peace operations.

The following factors will determine whether an Elsie-funded project can achieve the outcome, as set out in the Terms of Reference of the Elsie Fund, of “increased meaningful deployment of uniformed women peacekeepers to United Nations missions”:

- A T/PCC’s ability to deploy trained female and male personnel with the required skillsets in the timeframe stipulated in the project proposal and to address challenges related to performance and sustainability when it increases the number of Formed Police Units and/or military contingents it is deploying.
- DPO’s processes, criteria and available infrastructure for deployment of military and police personnel, including but not limited to:
 - actual and future needs for police and military personnel, taking into consideration any United Nations field missions projected to close or downsize;
 - the obligation to ensure geographical representation of Troop Contributing Countries (TCCs) and Police Contributing Countries (PCCs) in the military and police components of United Nations field missions;
 - the obligation to respect the pledges made by TCCs and PCCs in the framework of the United Nations Peacekeeping Capability Readiness System (PCRS);
 - the availability in the United Nations field mission(s) of the requisite logistics, welfare and medical facilities for women.

In addition to the above, any provision of training or other assistance by DPO to TCCs and PCCs that is outlined in a project proposal will be contingent upon the availability of relevant DPO personnel and financial resources unless the EIF or other partners can mobilize requisite resources—in a timely manner—to enable the planning for and creation of additional capacities to address the scale and scope of activities envisaged in the project proposal(s).

- 7.2.5 **Step 3: Review of LOI.** In addition to the steps detailed in the [EIF TOR](#) (Section 5.1 – Step 3), which includes meeting with the TC to consider all received LOIs prior to presenting them to the EIF SC, the EIF Secretariat will also consult with relevant DPO offices (e.g. OMA, PD, SSR, Office of the Director for Coordination and Shared Services (ODCSS), Strategic Force Generation Cell (SFGC), Integrated Training Services (ITS)) and the Department of Operational Support (DOS) depending on the nature of the project, to seek strategic and

technical guidance on each LOI and across all LOIs, including from a force generation perspective. The EIF Secretariat will ask DPO to confirm that:

- 7.2.5.1 proposed deployment planning figures are feasible and realistic,
 - 7.2.5.2 proposed activities are in alignment with DPO's policies and procedures, and
 - 7.2.5.3 missions where increased numbers of women are proposed to be deployed have receptive environments that can accommodate additional women as per DPO's guidance above - Deployment Planning for United Nations Peace Operations.
- 7.2.6 To facilitate consultations, the EIF Secretariat will highlight any elements from the list above that should receive specific attention by DPO.
- 7.2.7 The EIF will also meet with DCAF to ascertain DCAF's Help Desk capacity to support BA submissions using the MOWIP methodology.
- 7.2.8 In addition to the criteria specified in the [EIF TOR](#) (Section 3.6 - Criteria for Prioritization), the EIF Secretariat in its recommendations to the SC will also consider other criteria such as:
- 7.2.8.1 regional balance, language of United Nations peace operations and T/PCCs (Anglophone / Francophone),
 - 7.2.8.2 balance between Military and Police submissions,
 - 7.2.8.3 funding modality/ies sought (i.e., FPF / GSU / BA), and
 - 7.2.8.4 that funding allocations to UN-led projects do not exceed 20% of the total available funds (projects where United Nations organizations receive funds in coordination with a T/PCC beneficiary are not included in the 20% of UN-led projects).
- 7.2.9 Following consultation and analysis of all LOIs received in a programming round, the EIF Secretariat will recommend to the EIF SC, the LOIs to be invited to develop a detailed project funding request, along with a total funding amount to be allocated to that PR. On SC approval, the EIF Secretariat will advise all LOI submissions of the SC's decision, with successful LOIs invited to submit a detailed project proposal to the EIF Secretariat within a 2-month timeframe.
- 7.2.10 **Step 4: Barrier Assessment.** A credible BA must be conducted prior to accessing FPF. T/PCCs must agree to allow elements of the results of the BA to be used to compile an anonymized overview report and to provide a copy of the full report to the EIF Secretariat. And while a BA is not required to access a GSU premium, the EIF Secretariat strongly recommends a T/PCC to include the conduct a BA as part of their proposal.
- 7.2.11 **Step 5: Development and submission of detailed proposals.** Fund recipients are to use the EIF's DP Template (Annex F), EIF Budget Template (FPF- Annex G; MOWIP - Annex H) and EIF Budget Explainer (Annex I) to submit their proposal to the EIF, in accordance with guidance provided in the EIF Application Guidelines (Annex D).
- 7.2.12 Where a T/PCC or PUNO has modified activities described in the LOI or included new activities that were not part of the original LOI, the EIF Secretariat will:
- 7.2.12.1 review these new and modified activities to assess if they meet DPO's Deployment Planning for United Nations Peace Operations guidance and DPO policies in general, and

- 7.2.12.2 consult with DPO to confirm that new and modified activities meet DPO’s policies and procedures and DPO’s Deployment Planning for United Nations Peace Operations guidance.
- 7.2.13 T/PCCs and PUNOs must ensure that all activities proposed are in alignment with DPO policies and procedures and DPO’s Deployment Planning for United Nations Peace Operations guidance.
- 7.2.14 **Step 6: Technical Review of Projects.** In addition to the steps detailed in the [EIF TOR](#) (Section 5.1 – Step 6), which includes meeting with the TC to consider the DP, and subsequent presentation of the DP to the EIF SC, the EIF Secretariat will:
- 7.2.14.1 conduct a technical review of DP proposals and budgets, to ensure that the project and activities are consistent with the [EIF TOR](#), that budget calculations are correct and demonstrate value for money and meet the additional guidance on EIF budget preparation in Section 7.3 below,
- 7.2.14.2 provide additional guidance for PRODOC revision and refinement prior to the EIF’s submission to the TC, and
- 7.2.14.3 request a TC meeting to review the PRODOC, noting the agreed TC 7-working day timeframe.
- 7.2.15 Concurrent to the TC meeting (PRODOC and EIF summary is emailed to the TC for review at least 7-working days prior to the TC meeting), the EIF Secretariat will email to the DPO ODCSS EIF focal point, OMA and PD Gender Focal Points (GFP), a summary of key activities for DPO review and confirmation that all proposed activities are feasible and realistic and are in alignment with DPO policies and procedures.
- 7.2.16 This email will seek to highlight any activities that diverge from DPO’s policies and procedures and DPO’s Deployment Planning for United Nations Peace Operations guidance to ensure final confirmation on this is provided. These activities will have been consulted with DPO as per 7.2.5 and 7.2.11.
- 7.2.17 **Step 7: Approval and Disbursement and Advice.** In addition to the steps detailed in the [EIF TOR](#) (Section 5.1 – Step 7), and if required that substantive issues raised by DPO or TC have been addressed, the EIF Secretariat will convene a SC e-meeting and complete the following requirements:
- 7.2.17.1 **SC Approval.** Post DPO and TC consultations, the EIF Secretariat will prepare an Executive Summary (Annex J) on the DP and email to the EIF SC, along with the TC meeting minutes, and request SC member endorsement or otherwise, on a no-objection basis.
- 7.2.17.2 **BA proposal only.** The EIF SC United Nations Co-chair can approve BA proposals. Following United Nations Co-chair approval, the EIF Secretariat will advise the EIF SC of the United Nations Co-chair’s decision.
- 7.2.17.3 The timeframe to request responses from both the EIF SC and the United Nations Co-chair is 10-working days.
- 7.2.17.4 **Funds Disbursement.** The EIF Secretariat will send the Fund Transfer Request (FTR) (Annex K), and all required supporting documentation from fund recipients (refer to Section 10 below), to the MPTFO, who will, on receipt, initiate the funds transfer to the recipient organization, normally within a 5-day timeframe.

7.3 EIF Budget Preparation – Guidance on UNSDG Categories, Eligible and Ineligible Costs

7.3.1 **UNSDG Categories.** Every line item of a budget must be allocated in accordance with the UNSDG categories. Refer to the EIF Budget Template Explainer (Annex I) for additional information on the UNSDG categories.

7.3.2 **Indirect Support Costs.** A PUNO's indirect support costs that are not directly related to the project and are not recovered through programme support costs, are harmonized at 7%. This is standard practice in UNSDG funds and includes costs that are not directly related to the project.

7.3.2.1 The 7% indirect support cost is calculated on the total project budget and is then added to the total project budget to obtain the final total PRODOC budget amount. Refer to the EIF Budget Template Explainer (Annex I) for additional information.

7.3.2.2 A T/PCC is not to attribute any line items to the indirect support cost category.

7.3.3 **Contingencies.** It is acceptable to include an amount of 5% of the total budget in a PRODOC budget (under UNDG category 7. General Operating and other Direct Costs). Up to 10% can be considered on a case-by-case basis, however, would require to be supported by a detailed justification.

7.3.3.1 Expenditure of contingency funds allocated in the PRODOC budget, should only be liquidated against existing activities detailed in the PRODOC, if required.

7.3.3.2 Liquidation of the amount budgeted for contingencies on additional or new activities is not supported, however, may be considered where a proposed activity will directly contribute to or support the current project's outcomes and outputs.

7.3.3.3 Should a request be received to spend the contingency on additional activities, the fund recipient must first consult with the EIF Secretariat, and where supported, to then submit a detailed Project Revision Request as described in Section 7.4 below.

7.3.4 **Eligible Costs.** The following attributes define the nature of eligible costs:

7.3.4.1 Must comply with the principles of sound financial management, in particular, the principles of economy, efficiency, effectiveness, transparency and accountability.

7.3.4.2 Must be included in the project budget.

7.3.4.3 Must be necessary and reasonable for the delivery of the objectives of the project.

7.3.4.4 Must be identifiable in the accounting records and supported by original supporting evidence² as incurred in accordance with the approved project proposal and project period.

7.3.5 **Eligible costs for PUNOs may include:**

7.3.5.1 All staff costs, including salaries, social security contributions, medical insurance, rest and recuperation allowances and hazard pay (when applicable), and any other cost included as part of the normal staff salary benefit package, involved in the project.

NOTE: Salaries and costs may not exceed the costs borne by implementing entities or partners in other projects.

² For example, invoices – stamped and signed 'paid'.

- 7.3.5.2 Costs for consultancies involved in project implementation.
 - 7.3.5.3 Programme / Implementing Partner Audits.
 - 7.3.5.3.1 UN Women Country Offices are requested to include an allocation for Programme Partner Audits in their Partner project documents. Allocations are to be retained at the Country Office and not transferred to the Partner. UN Women manages Partner Audits centrally; Project Support and Management Unit (PSMU) can advise on the estimated audit costs. Funds that are not used for the Partner Audit are to be returned to the MPTFO by bank transfer.
 - 7.3.5.4 Support staff costs at country level, directly related to the project.
 - 7.3.5.5 Travel and subsistence costs directly linked to the project implementation for project staff, consultants, and other personnel, provided the costs do not exceed those normally borne by the implementing entity or partner.
 - 7.3.5.6 Purchase costs for goods and services delivered to the beneficiaries of the project, including quality control, transport, storage and distribution costs.
 - 7.3.5.7 Costs related to non-expendable items (assets), such as information and communications technology (ICT) equipment for the project.
 - 7.3.5.8 Other costs derived directly from the requirements of the project, such as monitoring, reporting, dissemination of information, translation, insurance for the duration of the project, and financial service costs such as bank fees for transfers.
- 7.3.6 **Eligible costs for Recipient National Governments (RNG) may include:**
- 7.3.6.1 Reasonable costs for innovative activities designed to increase the meaningful deployment of uniformed women peacekeepers in accordance with the [EIF TOR](#).
 - 7.3.6.2 Reasonable travel and subsistence costs directly linked to the project implementation, where not provided for by the RNG.
- 7.3.7 **Ineligible costs.** The following are ineligible costs for PUNOs and RNGs:
- 7.3.7.1 Salaries or wages for Ministry, Government, Security Institution, Military or Police personnel, or other already salaried personnel.
 - 7.3.7.2 Vehicles of any type.
 - 7.3.7.3 Weapons of any type.
 - 7.3.7.4 Ammunition of any type, or equipment designed to restrain, subdue or inflict harm on an individual, i.e., baton, handcuffs, CS gas etc.
 - 7.3.7.5 Construction of facilities that can be used for detention.
 - 7.3.7.6 Costs incurred outside the approved implementation period of the project (taking into consideration duly approved no-cost extension(s)).
 - 7.3.7.7 Costs for activities not detailed in the original PRODOC and not approved through a revision process.
 - 7.3.7.8 Foreign exchange rate differential.
- 7.4 **Budget, No-cost Extension and Project Revision Requests.** The three types of project revision categories include:

- 7.4.1 **Budget Revision:** where a revision is sought to the project budget to:
- 7.4.1.1 **increase the budget costs.** The maximum budget increase that the EIF will support is 10% of the original amount approved in the DP. **Note:** the total amount (original amount approved plus revision increase sought) must not exceed the maximum amount available to fund recipients in their respective programming round (i.e., 1st programming round – US\$ 1.0M; 2nd programming round – US\$ 1.5M).
 - 7.4.1.2 **introduce variations** between the different United Nations Development Group (UNDG) budget categories by more than 20%,
 - 7.4.1.3 liquidate the amount budgeted for contingencies on additional or new activities, and/or
 - 7.4.1.4 **change the total budget** of any outcome by more than 20%.
- 7.4.2 **No-cost Extension Revision:** where a revision to a project’s timeframe is required.
- 7.4.3 **Project Revision:**
- 7.4.3.1 any modification of a project’s expected outcome or intervention area, or
 - 7.4.3.2 where a substantive revision (deletion / addition / modification) to a project and activities is requested.
 - 7.4.3.3 Where a programmatic revision or a change to an activity is anticipated, for example, where an additional workshop had not initially been estimated, the project manager should review the overall project budget and identify other activities where cost savings could be made and consult with the EIF Secretariat to receive guidance. Smaller programmatic changes can be accommodated within the PRODOC, with approval from the EIF Manager.
- 7.4.4 **Project Start Date:**
- 7.4.4.1 Programming Rounds 1 and 2: Where there is a period of two or more months between a PRODOC’s *start date* and the *date* of the MPTFO *funds transfer*, the EIF Secretariat should discuss with the fund recipient if a no-cost extension is required, and where required, to request the fund recipient to submit an **EIF PRODOC Revision Request** (Annex L) to the EIF Secretariat for processing.
 - 7.4.4.2 Future Programming Rounds: The start date will be the date that the MPTFO transfers funds to the implementing entity / fund recipient. The end date will be as per the project duration as specified in the PRODOC.
- 7.4.5 **Submission of EIF Revision Request.** All revision requests should be emailed to the EIF Secretariat by the fund recipient at least two months before the project’s *end date* as detailed in the PRODOC and on the MPTFO website.
- 7.4.6 Where a fund recipient seeks a:
- 7.4.6.1 Budget and/or a No-cost Extension Revision, the fund recipient is to:
 - 7.4.6.1.1 submit an **EIF PRODOC Revision Request** to the EIF Secretariat for processing with a detailed justification to support the revision request,
 - 7.4.6.1.2 ensure all remaining project expenses have been committed (for example a contract or purchase order), and

- 7.4.6.1.3 ensure that as a minimum, 70% of the original project budget has been liquidated or committed.
 - 7.4.6.2 **Project Revision**, the fund recipient is to email an updated **EIF PRODOC** to the EIF Secretariat for processing with a detailed justification to support the revision request.
- 7.4.7 **For a Budget and/or a No-cost Extension Revision**, the EIF PRODOC Revision Request is to be:
 - 7.4.7.1 **signed** by the fund recipient as follows:
 - 7.4.7.1.1 T/PCC: by a representative of the same GCE and NE that signed the original PRODOC and MOA,
 - 7.4.7.1.2 PUNO: by a representative of the same United Nations organisation Country Office or the United Nations Mission that signed the original PRODOC, and
 - 7.4.7.2 **submitted** to the EIF Secretariat with the required annexes:
 - 7.4.7.2.1 Annex A: updated workplan
 - 7.4.7.2.2 Annex B: updated budget if required, and
 - 7.4.7.2.3 Annex C: the original signed PRODOC.
- 7.4.8 **For a Project Revision request**, the updated **EIF PRODOC** is to:
 - 7.4.8.1 include a clear explanation on the nature of the changes to the project's outcomes and/or interventions and/or activities, and a detailed justification for the project revision being requested, and
 - 7.4.8.2 **be signed** by the fund recipient as follows:
 - 7.4.8.2.1 T/PCC: by a representative of the same GCE and NE that signed the original PRODOC and MOA.
 - 7.4.8.2.2 PUNO: by a representative of the same United Nations organisation Country Office or the United Nations Mission that signed the original PRODOC, and
 - 7.4.8.3 **be submitted** to the EIF Secretariat with the updated PRODOC annexes.
- 7.5 **Budget, No-cost Extension and Project Revision Requests - Approval and Delegation**
 - 7.5.1 Prior to seeking any budget increase, fund recipients must review in detail, all project activities and associated budget to identify and implement cost savings.
 - 7.5.2 The EIF is unable to support budget revisions in excess of 10% of the original request. Should additional funding over 10% be required, fund recipients are encouraged to seek alternate funding sources e.g., through bilateral arrangements, to identify national funding sources, or to apply to the EIF in a subsequent programming round.
 - 7.5.3 **EIF Manager:** The SC delegates the decision *to the EIF Manager*, to approve the following revision requests:
 - 7.5.3.1 **No-cost Extension Revision:** a request for a time extension

- 7.5.3.2 **Budget Revision:** a request for budget revision up to \$20,000
- 7.5.3.3 **Budget Revision:** a request that does not substantially modify the project's results framework and/or does not affect the distribution between UNDG budget categories by more than 20%.
- 7.5.4 On EIF Manager approval, the EIF Secretariat will:
 - 7.5.4.1 inform the MPTFO by email and attach the signed EIF PRODOC Revision Request, and FTR where required, and
 - 7.5.4.2 advise the SC at the next SC meeting.
- 7.5.5 **UN Women Co-chair:** The SC delegates the decision to *the UN Women Co-chair*, to approve the following revision requests:
 - 7.5.5.1 **Budget Revision:** a request for budget revision up to 10% of the original amount approved in the DP - for all amounts over \$20,000.
 - 7.5.5.2 **Budget Revision:** a request that substantially modifies the project's results framework and/or affects the distribution between UNDG budget categories by more than 20%.
 - 7.5.5.3 **Project Revision:** any modification of a project's expected outcome, intervention area, or a substantive revision (i.e., deletion / addition / modification) of project activities.
- 7.5.6 On UN Women Co-Chair approval, the EIF Secretariat will:
 - 7.5.6.1 inform the MPTFO by email, accompanied by the signed EIF PRODOC Revision Request, and FTR where required, and
 - 7.5.6.2 advise the SC of the decision by email.
- 7.5.7 For any EIF **PRODOC Revision Request** that falls outside of these guidelines, following detailed consultation with the fund recipient, the EIF Secretariat would submit to the SC for endorsement / approval, or otherwise.
- 7.5.8 **For all budget revision requests the following applies:**
 - 7.5.8.1 as a minimum, 70% of the original project budget should be liquidated or committed prior to seeking an increase in budget, and
 - 7.5.8.2 all outstanding project expenses must be liquidated / committed prior to seeking additional funding.
- 7.5.9 **Note:** The ability of the EIF to support any budget revision will depend on the EIF's liquidity at the time the **EIF PRODOC Revision Request** is submitted.
- 7.5.10 The EIF may seek SC or TC guidance for any **Budget, No-cost Extension** and **Project Revision Requests**, as necessary.
- 7.6 **EIF SC Co-chair - UN Women: signing authority and delegations.** Where approval and / or a signature is required from UN Women, as either an EIF SC member or as United Nations Co-Chair, the DED Strategic Partnerships, Co-ordination and Intergovernmental Support, or Director - Policy, Programmes and Intergovernmental Division (PPID) are authorised to sign on behalf of UN Women, in accordance with authorised delegations.

7.7 The EIF Secretariat will request UN Women’s ED, DED or representative’s signature or approval, through extant UN Women procedures, for all documents that require a signature or approval from UN Women’s ED, DED or representative, and note the following approval times:

7.7.1 PSMU review and clearance: 3-7 working days

7.7.2 Director PPID approval: 5-working days

7.7.3 DED approval: 5-working days

7.8 Project Closure

7.8.1 **Project closure requirements.** Where a project has concluded, the fund recipient is responsible to ensure the project is closed in the United Nations system through the provision of final project narrative and financial statements and reports to the: MPTFO for PUNOs; and the EIF for a T/PCC - GCE (see Table 3 in Section 9 – PRODOC below).

7.8.1.1 **T/PCC:** The MOA signed between the T/PCC Government and the UNDP regarding the operational aspects of the EIF (MOA Section V) advises the steps required for financial and operational closure for activities in the approved programmatic document.

7.8.1.2 **PUNO:** The MOU signed between PUNOs and the UNDP regarding the operational aspects of the EIF (MOU Section IV) advises the steps required for financial and operational closure for activities in the approved programmatic document.

7.8.2 **T/PCCs** are required to:

7.8.2.1 report to the EIF Secretariat and the MPTFO on the operational closure of the project, and present the:

7.8.2.1.1 results-oriented and evidence based **final narrative report** including the final year of activities in the approved programmatic document, to the EIF Secretariat, within three months after the end of the calendar year in which the operational closure of the project occurred, and no later than **31 March**, for the EIF Secretariat to report to the MPTFO no later than **30 April**—after the end of the calendar year in which the operational closure of the activities in the approved programmatic document occurs,

7.8.2.1.2 **certified final financial statements** and **final financial reports** including the final year of activities in the approved programmatic document, to the EIF Secretariat, within three months after the end of the calendar year in which the operational closure of the project occurred, and no later than **31 March**—for the EIF Secretariat to report to the MPTFO no later than **31 May**—after the end of the calendar year in which the financial closure of the activities in the approved programmatic document occurs.

7.8.2.2 Return any balance remaining in the GCE / NE / PUNO accounts to the MPTFO by bank transfer.

7.8.3 **PUNOs** are required to:

- 7.8.3.1 report to the EIF Secretariat and the MPTFO on the operational closure of the project, and present the:
 - 7.8.3.1.1 results-oriented and evidence based **final narrative report** including the final year of activities in the approved programmatic document, to the EIF Secretariat, within three months after the end of the calendar year in which the operational closure of the project occurred – and no later than **31 March**, for the EIF Secretariat to report to the MPTFO no later than **30 April**—after the end of the calendar year in which the operational closure of the activities in the approved programmatic document occurs,
 - 7.8.3.1.2 **results based financial reporting** including the final year of activities in the approved programmatic document, to the EIF Secretariat, within three months after the end of the calendar year in which the operational closure of the project occurred - **31 March**—for the EIF Secretariat to report to the MPTFO no later than **31 May**—after the end of the calendar year in which the financial closure of the activities in the approved programmatic document occurs, and
 - 7.8.3.1.3 **certified final financial statement and final financial** reports direct to the MPTFO.
- 7.8.3.2 Return any balance remaining in the GCE / NE / PUNO accounts to the MPTFO by bank transfer.
- 7.8.4 Upon notification by the relevant authority and receipt of the final narrative and financial reports using EIF Project Closure Report Template (Annex M), the MPTFO will close the operations of the project.
- 7.9 **Fund Closure.** Once the EIF has ceased operating, the EIF Secretariat will inform the MPTFO who will close the EIF as follows:
 - 7.9.1 verify that all EIF funded projects have been financially closed,
 - 7.9.2 verify that all EIF Secretariat projects have been financially closed,
 - 7.9.3 verify that all interest has been received,
 - 7.9.4 refund any balance of the account (including interest) on a proportional basis to contributors,
 - 7.9.5 issue the certified final report of the activities of the MPTFO, and
 - 7.9.6 close the EIF in the United Nations system.

8 8.0 Risks, Risk Mitigation and Due Diligence

- 8.1 The [EIF TOR](#) (Section 3.7 – Risks and Mitigations Strategies), describes a number of high-level risks to the EIF, and corresponding mitigation strategies. The [EIF TOR](#) notes that the EIF is exposed to a variety of external and internal influencing factors that create uncertainty regarding the achievement of the EIF’s goals and that these manifest as risks to the objectives of the Fund.
- 8.2 Proposals the EIF intends to approve are to be reviewed against the [United Nations Human Rights Due Diligence Policy](#) (HRDDP) and the [Harmonized Approach to Cash Transfer](#) (HACT) Framework.

The proposal must remain eligible for United Nations support after the consideration of a risk assessment and the application of any necessary mitigating measures, prior to any disbursement of funds taking place.

- 8.3 The following sections describe the steps the EIF Secretariat undertakes to ensure that the HRDDP and HACT policy requirements are applied as part of the overall risk assessment for each project submitted to the EIF.
- 8.4 **HRDDP** ([link](#)). The HRDDP applies to all United Nations entities providing support³ to non-United Nations security forces⁴ (see paragraphs 8 & 9 for definitions). The [EIF TOR](#) (Section 3.7 Risks and Mitigation Strategies) requires all proposals the EIF intends to approve, to be reviewed against the HRDDP.
- 8.5 **Applicability to EIF fund recipients.**
- 8.5.1 **T/PCC as fund recipient.** Providing funding to a government falls under article 8 (b) and (c) of the HRDDP. Therefore, where a T/PCC will be the fund recipient, an HRDDP risk assessment is required to be conducted, with recommendations and mitigating measures to be incorporated into the PRODOC.
- 8.5.2 **PUNO as fund recipient.** Where a PUNO is the fund recipient, there is normally no requirement to conduct an HRDDP risk assessment; however, the EIF Secretariat can require an HRDDP risk assessment to be conducted to support the project risk assessment.
- 8.5.3 Where a PUNO subsequently transfers funds to a T/PCC, the PUNO must conduct an HRDDP risk assessment and ensure the project budget request includes funds to conduct the HRDDP risk assessment.
- 8.6 The T/PCC and security institution is required to support this process, including to ensure the availability of personnel and subject-matter experts for consultations through either direct on-site visits or virtual meetings, and the provision of documents electronically.
- 8.7 **EIF HRDDP risk assessment:** As per the HRDDP, and guided by OHCHR and other HRDDP experts, the EIF has developed an HRDDP Implementation Framework for the conduct of the risk assessment which aims to ensure consistency in its application across EIF projects requiring an HRDDP risk assessment (Annex N).
- 8.7.1 The EIF's HRDDP risk assessment includes a focus on gender discrimination including sexual and gender-based violence (SGBV), sexual harassment within security institutions, sexual exploitation and abuse (SEA) perpetrated by United Nations personnel, conflict related sexual violence (CRSV) perpetrated by security personnel, and other violations that could lead to grave human rights abuses as defined in paragraph 12 of the HRDDP policy.
- 8.7.2 The EIF HRDDP Implementation Framework includes a list of standardized mitigating measures which are to be tailored to the findings of the risk assessment, taking the individual T/PCC and security institution context into account.
- 8.7.3 The EIF will recruit an HRDDP consultant to conduct the HRDDP risk assessment using the EIF TOR – HRDDP Consultant (Annex O). Between 15-20 working-days are normally required to

³ See HRDDP paragraph 8 for the definition of 'support'.

⁴ See HRDDP paragraph 7 for the definition of 'non-United Nations security forces'.

conduct the risk assessment per T/PCC security institution, depending on the security institution’s responsiveness.

- 8.7.4 An additional 1-2 working-days are allocated where the T/PCC has conducted or is to conduct a BA as part of the funding request, to ensure complementarity, reduce duplication and share open-source resources where appropriate.
- 8.7.5 The EIF Secretariat will include a summary of the HRDDP risk assessment and its risk rating in the EIF’s Project Executive Summary (where required to be conducted).
- 8.7.6 The EIF SC will make the final decision in relation to the HRDDP risk assessment. Should the overall risk level be high, the project may be required to be brought under a PUNO.
- 8.7.7 Table 1 below outlines the steps to initiate and conduct the HRDDP risk assessment, which can take between 4-12 weeks, depending on the receptiveness of stakeholders.

Table 1: EIF HRDDP Risk Assessment

Steps	
1	EIF project focal point requests the United Nations Resident Coordinator (RC), through the RCO, or UN Women to send an official letter to the T/PCC Ministry for the Security Institution, to advise the HRDDP requirement. (HRDDP Guidance Note : pp. 11-12)
2	EIF Secretariat contracts an HRDDP consultant IAW the EIF HRDDP TOR
3	HRDDP consultant conducts virtual meetings, with initial facilitation by the EIF project focal point (~ 5 to 6 meetings): <ul style="list-style-type: none"> • UN AFP in the T/PCC • Security institution – legal expert • Security institution – GENAD and women representatives • Ministry in charge of human rights and other relevant governmental entities • National commission on human rights • NGOs and CSOs
4	HRDDP consultant conducts desk research and consolidates interview findings
5	HRDDP consultant drafts the HRDDP risk assessment CONFIDENTIAL reports <ul style="list-style-type: none"> • Detailed report 23~15-20 pages • Executive summary maximum 2 pages
6	HRDDP consultant and project focal point meet with T/PCC to present, discuss and agree mitigating measures – for integration in the T/PCC final project proposal
7	Include in Risk Management Register – identified risks and agreed mitigating measures
8	HRDDP Executive Summary sent to the two EIF SC co-chairs for endorsement

8.8 **HACT** ([link](#)). The HACT is a United Nations system-wide common operational (harmonized) framework for transferring cash to **government** and non-governmental implementing entities and partners, and has been adopted by UNDP, the United Nations Population Fund (UNFPA) and United Nations Children’s Fund (UNICEF). The HACT policy applies to government and CSO/NGO participation in United Nations projects. It establishes common principles and procedures for (i) capacity assessment, (ii) cash transfer modality, (iii) audit, (IV) assurance and (v) monitoring and is applicable to all cash transfers from United Nations agencies to implementing entities and

partners. The [EIF TOR](#) (Section 3.7 Risks and Mitigation Strategies) requires all proposals the EIF intends to approve, to be reviewed against the HACT.

8.9 **HACT Micro-Assessment (MA).** The HACT micro-assessment is one of the HACT Framework processes and it is the HACT MA that the EIF uses where a financial risk assessment is required.

8.9.1 The MA is a tool designed to assess the IP's financial management capacity, i.e., accounting, financial and procurement management, reporting, internal controls, etc. to determine the overall risk rating and assurance activities – a financial risk assessment.

8.9.2 When the HACT MA is conducted, it is to include the additional questions contained in the UN Women Risk Based Capacity Assessment (RBCA), as detailed in the EIF TOR – HACT Micro Assessment (Annex P), used to procure the services of a HACT consultancy.

8.9.3 **UN Women RBCA.** UN Women's 'Procedures for Selecting Programme Partners' includes an RBCA. The RBCA replicates the HACT Micro-Assessment; it also includes a number of *additional questions* that focus on SEA, women in leadership positions, data privacy and protection and women's ownership and participation in the organisation.

8.10 **Applicability to EIF fund recipients**

8.10.1 **T/PCC as fund recipient.** The MOA signed between the RNG and the MPTFO, states that:

8.10.1.1 the RNG assumes full financial and programmatic accountability for funds disbursed by the MPTFO to the Government Coordinating Entity (GCE), and

8.10.1.2 funds shall be thereafter disbursed by the CGE from its separate ledger account to the RNG entities that shall implement the activities funded by the Fund – the 'National Entities – NE'.

8.10.2 Where a T/PCC is the fund recipient, a HACT MA is required to be conducted on the National Entity (NE) as the NE is the entity responsible for implementing the project.

8.10.3 The T/PCC and security institution is required to support this process, including to ensure the availability of personnel and subject-matter experts for consultations through either direct on-site visits or virtual meetings, and the provision of documents electronically.

8.10.4 The EIF will contract a consultancy to conduct the HACT MA on the respective NE Security Institution – normally the Gendarmerie / Military / Police, using the EIF TOR – HACT Micro Assessment (Annex P). Between 10-15 working-days is normally required to conduct the risk assessment per T/PCC security institution, depending on the security institution's responsiveness.

8.10.5 **T/PCC transfers funds to implementing partners:** all T/PCC activities must be in accordance with the T/PCC's applicable national laws, regulations and procedures—the National Regulatory Framework, provided they do not contravene the principles set out in UNDP's regulations and rules.

8.10.6 **PUNO transfers funds to an implementing partner.** PUNOs are responsible to conduct the financial risk assessment in accordance with their respective standard arrangements and procedures to assess the IP's financial management capacity, i.e., accounting, financial and procurement management, reporting, internal controls.

- 8.11 The EIF Secretariat will use the results of the HACT Micro-Assessment, the UN Women RBCA or similar in its overall assessment of a fund recipient’s financial, managerial and technical capacity throughout the life of the project, and to determine the most appropriate cash transfer modality (*cash transfer; direct payment; or reimbursement*), and the type and frequency of assurance activities. A new HACT MA is not required where a HACT MA has been conducted by a United Nations fund, agency or programme on the fund recipient within the last four years and a copy is provided to the EIF.
- 8.1 The MPTFO will make the final decision in relation to the acceptance of the HACT report. Should the risk level be higher than **low**, and the cash transfer modality proposed as a result of a HACT assessment be either reimbursement or direct payment, the MPTFO is unable to transfer funds to the T/PCC government entity and the project would have to be brought under a PUNO ([HACT guidance note](#)).
- 8.2 Table 2 below outlines the normal steps to initiate and conduct the HACT micro-assessment, which can take between 4-12 weeks, depending on the receptiveness of stakeholders.

Table 2: EIF HACT Micro Assessment for a T/PCC as Fund Recipient

Steps	
1	EIF project focal point confirms if a HACT had been conducted on the T/PCC within the past <u>four years</u> , and if not continues on to step 2: <ul style="list-style-type: none"> • UN Country Team (UNCT) / UN Women • Check the UNDP HACT database (by country) to identify if a HACT exists for the T/PCC ministry / department
2	EIF Secretariat contracts a HACT micro-assessment consultant IAW the EIF HACT TOR
3	EIF project focal point introduces the HACT consultant and T/PCC project focal point
	HACT consultant <ul style="list-style-type: none"> • conducts interviews and desk research and • consolidates interview findings into the HACT report template
4	HACT consultant and EIF consultations on the findings of the HACT report and recommendations
5	HACT consultant and project focal point meet with T/PCC to present and discuss the findings of the risk assessment and agree mitigating measures for identified risks for integration in the T/PCC’s final project proposal
6	HACT MA report sent to the MPTFO for final decision on the HACT report

- 8.3 **Performance-based Tranche Approach.** To mitigate against financial risk, where a T/PCC is the fund recipient, the EIF will include a performance-based approach to fund allocation and will follow a tranche approach to funding for all projects with a duration of 12 months or more.
- 8.4 The budget for projects will be divided into two – three tranches of a similar amount unless the project is considered high risk in which case the first tranche may be lower or more tranches may be required. Only the first tranche will be considered fully committed by the MPTFO with subsequent tranches depending on the T/PCC meeting transfer conditions listed below, and the availability of EIF funds.

- 8.5 The minimum amount that can be requested per tranche payment is USD 100,000. Payment of the second and subsequent tranches will not require a formal SC decision provided the project is fully in line with the budget originally approved.
- 8.6 To request payment of a tranche, the T/PCC must have satisfied all EIF monitoring and evaluation, financial and narrative reporting requirements, and then submit a PRODOC Tranche Request to the EIF Secretariat (Annex Q), accompanied by the following documents:
- 8.6.1 financial reports using the EIF Financial Report (Annex R) signed by the GCE and NE (refer to the EIF Financial Report Explainer (Annex S) to assist, and
 - 8.6.2 bank statements that show that 70% of the previous tranche(s) has been liquidated and / or documentation to show that funds have been committed, i.e., a purchase order.
- 8.7 On confirmation that the above criteria have been met, the EIF Secretariat Manager will request the MPTFO to transfer funds to the GCE with an FTR form. The MPTFO will disburse the authorized amounts to the GCE within five working-days after receiving the signed FTR form.
- 8.8 **Audit Requirements and Spot checks**
- 8.8.1 The SAA details the audit requirements for each PUNO, in that PUNO's will be exclusively audited by their respective **internal** and **external** auditors in accordance with their own financial regulations and rules. Where the Internal Audit Services of the United Nations organizations involved in the Fund conducting a joint internal audit, the MPTFO's Internal Audit Services and the PUNOS would consult with the EIF SC, with the EIF responsible for the total costs of the internal audit activities.
 - 8.8.2 **Audit of RNGs.** The MOA notes that the GCE and the NEs will be audited in relation to the implementation of the EIF and their use of EIF resources, in accordance with the **National Regulatory Framework**, and subject to any other external auditing requirements described in the [EIF TOR](#) (as of 31 July 2022 the [EIF TOR](#) does not provide for any other external auditing requirements).
 - 8.8.3 Where financial irregularities become apparent, as per the HACT policy the EIF Secretariat will contract a consultant to conduct a spot check on the respective security institution to:
 - 8.8.3.1 check the fund recipient's internal controls with respect to financial management, procurement and/or other controls required to implement the activities defined in the work plan; and
 - 8.8.3.2 review a sample of expenditures to confirm that documentation supports the expenditures and that they are in accordance with the work plan and other United Nations regulations.
- 8.9 **EIF Program level Risk Register.** Further to the risks identified in the TOR, and above, the EIF Detailed Proposal template (Annex F) includes a section where risks to the project and mitigating measures are recorded. The requirement exists for a Program level Risk Register to be compiled by the EIF Secretariat, using the UN Women Standardized Risk Register (Annex T). The EIF Risk Register will include:
- 8.9.1 a log of all risks identified in each of the EIF funded projects, including root causes, severity, and actions taken by the fund recipient to manage or mitigate against each risk, and a consolidated overview and assessment of risks, and

- 8.9.2 a separate section on risks identified during the HRDDP and HACT risks assessments, mitigating measures agreed and good practices.
- 8.10 The EIF Secretariat project focal point will ensure that project risks and mitigating measures are:
 - 8.10.1 entered in the EIF Risk Register once the project is approved, and
 - 8.10.2 reviewed with the fund recipient during quarterly check-ins as described in the Monitoring and Evaluation Section 12 below, and
 - 8.10.3 with the EIF manager responsible to review the EIF Risk Register annually.
- 8.11 The EIF Risk Register will be a valuable tool for project focal points to provide guidance to future potential EIF recipients as well as other stakeholders as they pertain to similar projects or activity types, and for future research and analysis.

9 9.0 MOA, MOU and PRODOC Signatory Requirements

- 9.1 This section details the requirements for the signing of MOAs, MOUs and PRODOCs.
- 9.2 **MOA**⁵. This is a standard agreement that is required to be signed between the MPTFO and the RNG – the T/PCC National Government prior to the transfer of funds. Each RNG assumes full financial and programmatic accountability for funds disbursed by the MPTFO to the GCE. The RNG will ensure that all obligations of the GCE and the NE/s are undertaken as required by the signed MOA. Only one MOA can be signed between the MPTFO and an RNG. The MOA refers to the following entities:
 - 9.2.1 **Recipient National Government (RNG)**. The RNG assumes full financial and programmatic accountability of the funds disbursed by the MPTFO to the GCE.
 - 9.2.2 **Government Coordinating Entity (GCE)**. The GCE is authorised by a Government and would normally be the Ministry of Finance, Economics, or similar.
 - 9.2.3 **National Entity (NE)**. The NE is the Security Institution, normally a Gendarmerie, Military, or Police organisation who is responsible to implement the project.
 - 9.2.4 **NOTE:**
 - 9.2.4.1 There can only be one MOA signed between a Government and the MPTFO for all EIF projects. While the GCE and the NE can be the same ministry, this is not recommended, as the GCE would then be required to be the GCE for all of the T/PCC’s security institution current and future EIF projects.
 - 9.2.4.2 Where a GCE is the same as a NE, it is important to note that the GCE’s responsibilities are different to a NE’s as detailed in the MOA.
- 9.3 **MOU**⁶. This is a standard agreement that is required to be signed between the MPTFO and the PUNO, with each PUNO to assume full programmatic and financial accountability for the funds disbursed to it by the MPTFO in accordance with its own regulations, rules, directives and procedures. There can only be one MOU between the EIF Trust Fund and PUNOs; PUNOs are therefore required to add their signature to this MOU.

⁵ MOA for the Elsie Initiative Fund for Uniformed Women in Peace Operations using pass-through fund management (UNDP and T/PCC Government)

⁶ Standard MOU for the Elsie Initiative Fund for Uniformed Women in Peace Operations using pass-through fund management, as agreed by the UNDG

9.3.1 For United Nations Peacekeeping Missions, a signature is required from the Chief Mission Support (CMS) where they have been delegated full financial authority.

9.4 **PRODOC.** The PRODOC is the official document that describes the project activities in detail, the agreed timeframe, monitoring and evaluation activities and the detailed budget required to implement the project. As such, the PRODOC is to be signed by the same signatories who sign the MOA or MOU, and jointly with the implementing entity / partner as per Table 3 below.

Table 3: PRODOC Signing Requirements

Requirements will be clearly set out on the LOI and PRODOC	
FUND RECIPIENT is a <u>T/PCC</u>	FUND RECIPIENT is a <u>PUNO / United Nations organisation</u>
Where the fund recipient is a T/PCC, the PRODOC requires the following signatories: Fund Recipient / Name of the Government Coordinating Entity: To be signed by the same GCE that signs the MOA Signatory Name: Position: Signature: Date: Name of the National Entity: Defence Force Chief / Minister of Defence / Police Commissioner / Minister of Interior Position: Signatory Name: Signature: Date: Implementing Entity / Partner: T/PCC project manager, point(s) of contact, penholder(s) (Required by EIF; not required by MPTFO) Position: Signatory Name: Signature: Date:	Where the fund recipient is a PUNO, the PRODOC requires the following signatories: PUNO (implementing entity) as fund recipient, in partnership with T/PCC (implementing partner): UN Country Office Head / Representative Position: Signatory Name: Signature: Date: T/PCC project manager / point(s) of contact (Required by EIF; not required by MPTFO) Position: Signatory Name: Signature: Date: UN Mission (implementing entity) as fund recipient: Chief Mission Support (CMS) Signatory Name: Position: Signature: Date: Mission POC Position: Signatory Name: Signature: Date:

10 10.0 Fund Receipt, Bank Account requirements and Funds Transfer

10.1 **T/PCC as Fund Recipient:** Where a T/PCC is the fund recipient, a separate bank account must be opened by both the:

10.1.1 **GCE** - there is to be only one GCE bank account, and this account can receive funds for different NEs; and the

10.1.2 **NE** – each NE will require to open a separate account in their own name for each project and will require to have a NIL initial balance.

Note: Where a GCE is the same as a NE, the requirement for two separate bank accounts remain, as a GCE’s responsibilities are different to a NE’s.

10.2 The following documents must be emailed to the MPTFO for each of the GCE and NE bank accounts.

10.2.1 **GCE** – the bank account is to be in the name of the GCE:

10.2.1.1 UNDP Vendor Form – required to establish the T/PCC fund recipient in the MPTFO finance system (Template – Annex U, Explainer – Annex V).

10.2.1.2 Letter from the Bank advising the bank account details – (Annex W)

10.2.1.3 Letter from the Bank advising Bank account authorised signatories – must be at least two signatories (Annex X).

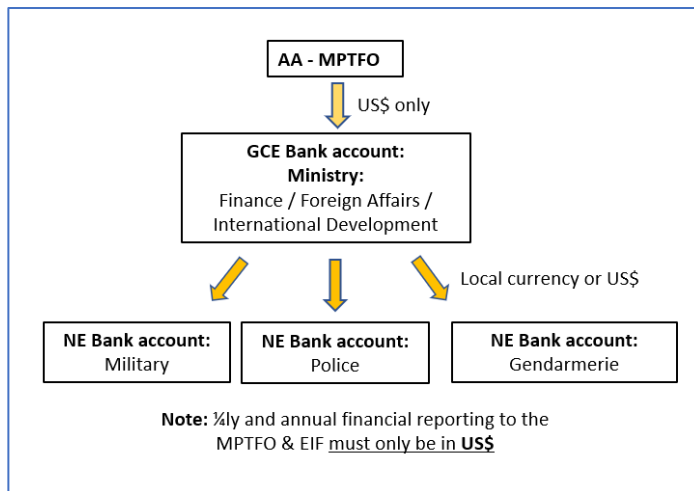
10.2.2 **NE** – the bank account is to be in the name of the NE – noting the requirements for a separate bank account for each NE Security Institution, i.e., Military, Police, Gendarmerie:

10.2.2.1 Letter from the Bank advising the bank account details (Annex W)

10.2.2.2 Letter from the Bank advising Bank account authorised signatories – must be at least two signatories (Annex X)

10.2.3 The MPTFO recommends for the GCE and NE Ministries to be as detailed in Figure 2.

Figure 2: Recommended GCE and NE Ministry authorities



10.3 **PUNO as Fund Recipient.** Where a PUNO is the fund recipient and is an existing Participating Organization as listed on the [MPTFO webpage](#), (i.e. UN Women, UNDP), the PUNO is to establish a separate ledger for receipt and administration of the fund IAW that PUNO’s rules and regulations.

10.4 Where a **United Nations Organisation is the fund recipient** and is not an existing Participating Organization as per the [MPTFO webpage](#), it must sign the MOU to become a Participating United Nations Organisation. Subsequently, the United Nations Organisation must submit the following documents to the EIF Secretariat:

10.4.1.1 UNDP Vendor Form – required to establish the United Nations mission in the MPTFO finance system (Template - Annex U, Explainer - Annex V).

10.4.1.2 Proof of Business Relationship – signed MOU is acceptable

10.4.1.3 Certified bank details from the United Nations Mission's bank - one of the following is required:

10.4.1.3.1 a void cheque

10.4.1.3.2 bank letter, or

10.4.1.3.3 copy of bank statements without details.

Note: A central bank account can be used (i.e., United Nations General Trust Fund – UNITAMS as the vendor). Where a mission does not use a central bank account, they must ensure the vendor's name (UN Agency name) matches the bank account name. If the bank account is a central bank account such as a United Nations General Trust Fund, MPTFO use the central bank account name and not the Mission's name for the vendor profile.

10.5 **Funds Transfer.** On SC approval of each project including its budget allocation – either in full or in tranches to reduce financial risk, and on receipt of the authorised and signed documents below, the EIF Secretariat will email the FTR and these supporting documents to the MPTFO and request the MPTFO to transfer funds to the fund recipient:

10.5.1 PRODOC,

10.5.2 MOA / MOU, and

10.5.3 financial forms (as required),

10.5.4 the HACT risk assessment (where required), and

10.5.5 with the HRDDP risk assessment rating and summary included in the EIF Executive Summary (where required).

10.6 **FTR Signature and Authorization.** To ensure no conflict of interest, signing the FTR is dependent on who the fund recipient is, as follows:

10.6.1 PUNO as Fund Recipient

10.6.1.1 UN DPO – Chief of Staff, ODCSS to sign the FTR for UN Women - EIF Secretariat Direct Costs, or where UN Women is the implementing entity and the T/PCC is the implementing partner:

10.6.1.2 DED, Policy, Programme, Civil Society and Intergovernmental Support - UN Women to sign the FTR for all other PUNOs including United Nations missions

10.6.2 T/PCC as Fund Recipient

10.6.2.1 UN Women: DED, Policy, Programme, Civil Society and Intergovernmental Support - UN Women to sign the FTR

10.7 Table 4 below details the FTR supporting documents and authorization / approvals required by the MPTFO to transfer the funds.

Table 4: FTR supporting documents and authorization / approvals required by the MPTFO

Fund Recipient	T/PCC	FTR signed by UN Co-chair	PUNO	FTR signed by UN Co-chair
Project type				
BA	<ol style="list-style-type: none"> Signed / completed PRODOC – PDF EIF Executive Summary – PDF, signed by UNW⁷ Signed MOA UNDP Vendor and financial forms Budget in Excel IAW the UNDG budget categories EIF Secretariat email to UN co-chair recommending project endorsement HACT assessment 	UNW	<ol style="list-style-type: none"> Signed / completed PRODOC – PDF EIF Executive Summary – PDF, signed by UNW⁸ Budget in Excel IAW the UNDG budget categories EIF Secretariat email to UN co-chair recommending project endorsement 	<p>DPO where UNW is fund recipient</p> <p>UNW for other PUNOs</p>
FPF	<ol style="list-style-type: none"> Completed PRODOC – PDF EIF Executive Summary - PDF MOA UNDP Vendor and financial forms SC meeting minutes detailing the \$ approved Budget in Excel IAW the UNDG budget categories EIF Secretariat email to EIF SC requesting project endorsement HACT assessment 	UNW	<ol style="list-style-type: none"> Completed PRODOC – PDF EIF Executive Summary - PDF MOU UNDP Vendor and financial forms SC meeting minutes detailing the \$ approved (virtual or email) Budget in Excel IAW the UNDG budget categories EIF Secretariat email to EIF SC requesting project endorsement 	<p>DPO where UNW is fund recipient</p> <p>UNW for other PUNOs</p>
<p>Note: HRDDP assessment is CONFIDENTIAL and is not emailed to the MPTFO. Co-chairs receive a copy of the 2-page executive summary.</p>				
EIF Secretariat PRODOC			<ol style="list-style-type: none"> Completed PRODOC – PDF SC meeting minutes with funding allocation approved 	- DPO

10.8 On confirming the submitted documents are consistent with the applicable provisions of the MOA / MOU and the MPTFO’s legal requirements, the MPTFO will transfer the funds no later than 5-working days after receipt of the FTR and supporting documents; the MPTFO will also email the fund recipient and the EIF Secretariat to advise the details on the funds transfer and advise the unique **Project ID number** which is to be included in all project reports and communications.

10.9 **Fund Transfer Date and Project Start Date.** The project start date will be the date the MPTFO transfers the funds to the T/PCC or PUNO HQ. On receipt of the funds, the fund recipient is to acknowledge receipt to the EIF Secretariat within 5-working days.

10.9.1 **Project Announcements.** For each project approved, the EIF Secretariat prepares a communications package in collaboration with EIF recipients and stakeholders, including a Press Release, tweets, and digital assets in English, French and/or local languages The Press releases are published to the EIF website on the launch date. The package highlights the project’s expected impact, voices of the EIF recipients and United Nations partners, and acknowledges the support from EIF Contributors. To increase the reach and impact of

⁷ UN Women Co-chair is authorised to approve a BA, there will be no separate SC Meeting minutes

⁸ UN Women Co-chair is authorised to approve a BA, there will be no separate SC Meeting minutes

announcements, the EIF Secretariat collaborates with EIF recipients, UN Women HQ, Regional/Country offices, DPO and relevant stakeholders for the dissemination of the package via regional, national and local platforms.

11 11.0 Reporting

11.1 **Narrative Reports.** Each fund recipient must provide the EIF Secretariat with narrative reports as per the timeframes in Table 5 below. **Note:** Additional progress reports may be requested from fund recipients based on the decision by the SC.

11.2 **Financial Reporting.** Each fund recipient must provide the EIF Secretariat with financial reports as per the timeframes in Table 5 below. **All financial reporting must be in US \$** and should provide information on the use of financial resources against the outputs and outcomes in the agreed results framework.

11.3 Additional information on the EIF's requirements for fund recipient narrative and financial reporting is in Section 12 Monitoring and Evaluation.

11.4 On receipt of the fund recipient's financial reporting, the MPTFO will consolidate into the following tables, for inclusion in the EIF Annual Report. These tables allow the measurement of the performance of the financial indicators in the preceding year or cumulatively in relation to each level of results, as previously described in the different sections related to the Fund's strategic framework and the monitoring and evaluation activities:

- General financial overview
- Contributions by Donors
- Net value of funding by specific objective / result
- Net value of funding by project objective
- Net value of funding per participating organization
- Total financial execution rate by category
- Financial execution rate by specific objective / result
- Financial execution rate per project; and
- Financial implementation rate per participating organization

11.5 Additional detail on financial reporting requirements for all fund recipients is provided in the respective memorandums (located on the on the [MPTFO webpage](#) – Documents tab).

11.5.1 **MOA** - signed between the MPTFO and the T/PCC government for T/PCCs.

11.5.2 **MOU** - signed between the MPTFO and PUNO recipients.

Table 5: Narrative and Financial Reporting Requirements – Fund Recipients, EIF Secretariat, and MPTFO

Fund Recipient Reporting Obligations	Prepared by	Submit to	Due Date
Narrative Reports			
Quarterly narrative reports Q1: 1 January – 31 March Q2: 1 April – 30 June Q3: 1 July – 30 September Q4: 1 Oct – 31 December	All fund recipients	EIF Secretariat	Submit one month after the end of each quarter: Q1: 30 April (1 January-31 March) Q2: 31 July (1 April-30 June) Q3: 31 October (1 July-30 September) Q4: 31 January (1 October-31 December)
Annual Narrative Progress Reports ⁹	All fund recipients	EIF Secretariat	31 January (annually)
Final Narrative Report: T/PCC ¹⁰ / PUNO ¹¹	All fund recipients	EIF Secretariat	Within 3 months of project closure date and no later than 31 March
Financial Reports			
½ yearly financial reports	T/PCC	EIF Secretariat	31 July (1 January-30 June)
½ yearly financial reports (requested)	PUNO	EIF Secretariat	31 July (1 January-30 June)
Annual financial reports (as of 31 December)	T/PCC	EIF Secretariat	31 January (annually)
	PUNO ¹²	MPTFO	30 April (annually)
Certified final financial statements and final financial reports	T/PCC	EIF Secretariat	31 March
	PUNO	MPTFO	31 May
EIF Secretariat Reporting			
Narrative Reports			
Annual Narrative Progress Reports – all fund recipients	EIF Secretariat	MPTFO	31 March (annually)
Final Narrative Reports	EIF Secretariat	MPTFO	30 April
Financial Reports			
Annual Financial Reports – T/PCCs	EIF Secretariat	MPTFO	30 April (annually)
Certified final financial statements and final financial reports – T/PCCs	EIF Secretariat	MPTFO	31 May
Consolidated Report			
Annual Progress Report – Consolidated Narrative and Financial for publication	EIF Secretariat	MPTFO	31 May (annually)
MPTFO Reporting			
Certified Annual Financial Statement ¹³	MPTFO	Contributors & SC	31 May (annually)
Consolidated Report			
Annual Consolidated Narrative Progress and Financial Report	MPTFO	Contributors & SC	31 May (annually)

⁹ EIF MOU pg. 9: Annual and final narrative reports will compare actual results with expected results at the output and outcome level and explain the reasons for over or underachievement.

¹⁰ EIF MOU pg. 9: The final narrative report will also contain an analysis of how the outputs and outcomes have contributed to the overall impact of the Fund. The financial reports will provide information on the use of financial resources against the outputs and outcomes in the agreed results framework.

¹¹ EIF MOA pg. 9: The final narrative report will also contain an analysis of how the outputs and outcomes have contributed to the overall impact of the Fund. The financial reports will provide information on the use of financial resources against the outputs and outcomes in the agreed results framework.

¹² EIF MOU pg. 9: 'The financial reports will provide information on the use of financial resources against the outputs and outcomes in the agreed results framework'

¹³ EIF MOU pg. 9: "Source and Use of Funds" as defined by UNDG guidelines.

EIF Closure	Prepared by	Submitted to	Due Date
Final Consolidated Narrative	EIF	MPTFO	30 March (3 months after year of EIF Operational Closure)
Final Financial Report	EIF	MPTFO	30 April (4 months after year of EIF Operational Closure)
Certified Final Financial Statement ¹⁴	MPTFO	Contributors & SC	31 May (5 months after year of EIF Operational Closure)
Final Consolidated Narrative and Financial Report	MPTFO	Contributors & SC	30 June (6 months after year of EIF Operational Closure)

11.6 EIF Financial Reporting Requirements. As part of a T/PCC’s annual financial reporting requirements the EIF Secretariat requires T/PCCs to maintain and provide the following financial documentation to the EIF Secretariat, with all reporting to be in US \$. The EIF Secretariat is responsible to ensure the quality and accuracy of financial reporting and will seek the support of fund recipients and MPTFO to ensure accuracy.

11.6.1 NE bank statements: from the NE bank / ledger account for each financial year 1 January to 31 December.

11.6.2 Account entry/ies: Each debit entry on the bank / ledger account to be annotated to include expenditure details:

11.6.2.1 payee/s

11.6.2.2 amount/s

11.6.2.3 description of the expense / debit.

11.6.3 Records and supporting documentation: including original receipts, signed contracts, invoices signed as ‘paid’, are to be maintained in accordance with the T/PCC’s national regulatory framework, and to support internal and external audits as required. These are not required to be submitted to the EIF Secretariat unless specifically requested as part of an audit requirement.

11.7 Transfer of assets. Transfer of assets is to be conducted in accordance with policy and practices of the implementing entity.

12 12.0 Monitoring and Evaluation (M&E)

12.1 EIF M&E Framework (MEF). The [EIF TOR](#) (Section 3.4 – Results) and the EIF’s MEF (Annex B), endorsed by the EIF SC, describe the EIF’s theory of change and results framework, including both ultimate and secondary impacts, four key outcomes and related outputs, as shown in Figure 3 below.

¹⁴ EIF MOU pg. 9: “Source and Use of Funds” as defined by UNDG guidelines

Figure 3 – EIF Results Framework

ULTIMATE IMPACT	Support by the EIF contributes to accelerating the pace of change towards the increased meaningful participation of uniformed women in UN peace operations			
SECONDARY IMPACT	Knowledge gained by the EIF contributes to the global conversation on increasing the representation of uniformed women in UN peace operations			
OUTCOMES	1 Expanded country-specific knowledge of barriers to deployment of uniformed women peacekeepers to UN peace operations	2 Increased meaningful deployment of uniformed women peacekeepers to UN peace operations	3 Increased pool of uniformed women eligible to deploy as UN peacekeepers	4 Improved working or/and living conditions for uniformed women peacekeepers in UN peace operations
OUTPUTS	1.a. Barrier assessment (BA) is commissioned or undertaken by T/PCC	2.a. National projects aimed at reducing specific obstacles to the deployment of uniformed women peacekeepers identified in BAs are carried out 2.b. T/PCCs are reimbursed for some, or all of the additional costs incurred to deploy GSUs 2.c. T/PCCs have received GSU premiums for deployment of GSUs	3.a. Recruitment campaigns for national armed forces & police services that include messaging for women are launched 3.b. Training (e.g., training on gender equality in security institutions/peacekeeping, and in UN examinations) is delivered to prepare uniformed personnel to be deployed as UN peacekeepers 3.c. Awareness campaigns and activities to inform uniformed women in national armed forces and police services of deployment opportunities, deployment criteria, cost & benefits, and relevant application procedures are held	4.a. In-mission pilot projects to improve the workplace safety of deployed uniformed women peacekeepers are undertaken 4.b. In-mission pilot projects testing equipment or infrastructure to diminish barriers to uniformed women peacekeepers' full participation in mission tasks, take place 4.c. Pilot projects aimed at enhancing in-mission support mechanisms or policies to identify and address gender-related deployment challenges are undertaken
CROSS-CUTTING OUTPUT	Collection of policy-relevant knowledge about increasing meaningful participation of uniformed women in UN peace operations developed			

12.2 EIF indicator placemat. To measure progress made towards achieving the EIF outputs, outcomes, and impact, the EIF indicator placemat (Annex Y) describes the EIF’s standard indicators, including data sources and collection methods. The EIF Secretariat publicly reports on these indicators on an annual basis in its annual report.

12.3 MEF implementation. To implement the MEF, the EIF Secretariat is responsible to:

12.3.1 disseminate the MEF to SC and TC members, fund recipients, and other key stakeholders

12.3.2 Provide potential EIF recipients with information on the EIF Results Framework, including the requirement for all projects to align with and contribute to the EIF results framework as part of each programming round launch technical briefings.

12.4 EIF-level Evaluations. The EIF will conduct and/or commission fund level evaluations as described in the [EIF TOR](#) (Section 5.3 Monitoring, Reporting and Evaluation), and detailed the EIF MEF, disseminate the results to EIF stakeholders, and incorporate results and recommendations into its programming and internal processes. The evaluations include a:

12.4.1 Formative review of the EIF at the end of Q4 2022/Q1 2023 to reflect on previous programming rounds and the EIF Secretariat’s internal processes,

12.4.2 Summative evaluation of the EIF at the end of Phase 1 (2025) to assess the relevance, effectiveness, efficiency, and sustainability of the EIF, and

12.4.3 Ex-post evaluation of the EIF in 2028 to assess how the EIF contributed to the removal of longer-term barriers to the meaningful participation of uniformed women in United Nations peacekeeping.

12.5 Fund Recipient M&E Requirements

12.5.1 **Project-level results frameworks.** All EIF-funded projects must contribute directly to at least one of the four EIF outcomes and target at least one of the associated indicators.

- 12.5.2 EIF recipients are responsible to develop a detailed project results framework as part of their proposal and PRODOC, in coordination with, and with guidance from, the EIF Secretariat.
- 12.5.3 Where required during project inception, the EIF Secretariat can also support EIF recipients:
 - 12.5.3.1 to ensure their project results framework and M&E plan is logical and coherent with the EIF's results framework, and
 - 12.5.3.2 on the selection of EIF indicators and data collection tools to monitor progress at the project level.
- 12.5.4 Fund recipients are also encouraged to identify and track additional indicators as necessary for their own monitoring purposes.
- 12.6 **Quarterly reporting.** EIF Fund recipients are required to report on their project's progress on a quarterly basis, using the templates described below.
 - 12.6.1 **Narrative:**
 - 12.6.1.1 EIF Quarterly Reporting Template BA - MOWIP Annex Z.
 - 12.6.1.2 EIF Quarterly Reporting Template FPF - Annex AA.
 - 12.6.2 **Financial:**
 - 12.6.2.1 EIF Financial Report Template – Annex R and the EIF Financial Report Explainer (Annex S).
 - 12.6.3 To support completion of these templates, the EIF Secretariat will:
 - 12.6.3.1 Conduct an initial meeting with project penholders to provide guidance on how to complete the templates.
 - 12.6.3.2 Post report submission, conduct a quarterly check-in with each fund recipient to discuss progress, challenges, good practices, lessons and recommendations. This check-in is also an opportunity for fund recipients to raise any programmatic issues that they would like to discuss.
 - 12.6.3.3 The quarterly check in will also include an assessment of progress in implementing the HRDDP and HACT mitigating measures as detailed in the PRODOC. The EIF project focal point is responsible to update the EIF Risk Register accordingly.
- 12.7 **M&E visits.** The EIF Secretariat will conduct monitoring missions on a periodic basis including a:
 - 12.7.1 mid-term monitoring, to determine if current project implementation and progress is effective, and
 - 12.7.2 final monitoring or evaluation mission to assess whether contributions have had their intended effect, to determine whether results are being or have been achieved and whether contributions have been used for their intended purposes.
- 12.8 These visits will enable the EIF Secretariat to evaluate project's contribution towards achieving EIF outcomes, and where required, may include discussions with key stakeholders on issues such as the project's delivery rate and budget, project implementation challenges, and support to capacity building activities.

- 12.9 EIF-led monitoring missions will however not constitute a financial, compliance or other audit of the Fund including any projects or activities funded under the MOU or MOA with the recipient organizations.

13 13.0 Communications and Knowledge Management

- 13.1 To support EIF advocacy and outreach efforts, the EIF has developed a Communications and Knowledge Management Strategy (C&KM) (Annex BB), and will update, maintain and use the following communications tools in its advocacy efforts.

13.1.1 Website:

- 13.1.1.1 To provide detailed information about the EIF and its funded projects and offer guidance on applying for EIF funding.
- 13.1.1.2 To track the deployment of uniformed women to United Nations peacekeeping through the EIF Gender Statistics dashboards.
- 13.1.1.3 To share new reports, policy and guidance documents from the EIF, DCAF, Georgetown Institute for Women, Peace and Security (GIWPS), Global Affairs Canada, London School of Economics (LSE) and the UN, and other research institutions who focus on WinPK.

13.1.2 Twitter

- 13.1.2.1 To share timely programming updates on Twitter, i.e., call for proposals, project approval announcements, upcoming events, and launch of reports.
- 13.1.2.2 To provide visibility for donor contributions.
- 13.1.2.3 To promote inspirational content on the meaningful participation of uniformed women in United Nations peacekeeping.

- 13.1.3 **Quarterly Newsletters:** To provide information updates to key stakeholders on the implementation of projects, donor contributions, events and advocacy efforts.

- 13.1.4 **Events:** To organize and participate in events and information briefings to raise awareness on EIF objectives, activities, impact and results, including briefings to T/PCCs and PUNOs on programming rounds, donor meetings, launch of annual report among others.

- 13.1.5 **Press Releases:** To conduct media outreach to announce new fund recipients, the impact of EIF-funded projects and special events.

- 13.1.6 **Knowledge management:** Collection, standardisation and dissemination of effective practices and lessons learned through a number of different initiatives, as detailed in the C&KM.

14 14.0 Accountability and Transparency Framework

- 14.1 **Records Management.** The EIF Secretariat should keep electronic copies of all EIF-related files. At a minimum, these include the following:

- 14.1.1 Approved PRODOC with a signed cover page and XL version of the project budget, and other related correspondence and drafts.

- 14.1.2 Master-list of all LOI applicants and fund recipients.

- 14.1.3 Fund recipient financial and narrative quarterly progress and final reports.
 - 14.1.4 All approved GSU premium checklist applications.
 - 14.1.5 Monitoring and evaluation reports for each project and fund recipient.
 - 14.1.6 All HRDDP Risk assessments and associated documentation [Confidential Folder].
 - 14.1.7 All HACT Risk assessments and associated documentation.
 - 14.1.8 Signed cost/no-cost extensions, including correspondence with fund recipients.
 - 14.1.9 Call for LOIs and supporting documents and correspondence.
 - 14.1.10 All Donor, SC and TC meeting minutes.
 - 14.1.11 Correspondence related to selection and approval of fund recipients.
 - 14.1.12 Knowledge products produced by fund recipients.
 - 14.1.13 EIF Secretariat Mission reports.
- 14.2 **Public Disclosure and Transparency.** The MPTFO GATEWAY website (<http://mptf.undp.org>), is a knowledge platform that provides data on implemented projects and financial information in real time including contributor's commitments and deposits, approved project budgets, transfers to and expenditures reported by participating organisations, interest income and other expenses. The MPTFO, in consultation with the EIF, will ensure that periodic reports on the progress of implementation of the EIF, and associated external evaluations, are posted, where appropriate, for public information on the MPTFO EIF webpage: <https://mptf.undp.org/fund/eif00>. Such reports and documents may include approved programmes and programmes awaiting approval, funding levels, annual financial and progress reports, and external evaluations, as appropriate.
- 14.3 The EIF Secretariat also publishes project approvals through its [website](#) and [social media channels](#), and publishes an Annual Progress Report as per the MPTFO's reporting requirements and harmonized financial reporting requirements.
- 14.4 Each participating organisation will take the necessary steps to publicise the EIF and give due credit to implementing entities and partners. All related publicity material, official notices, reports, publications and press releases provided to the media or EIF fund recipients and beneficiaries, will acknowledge the role of EIF Contributors, participating organisations, the MPTFO, and any other relevant entities.
- 14.5 **Corrupt, fraudulent, collusive, coercive, unethical, or obstructive practices.** By signing the respective MOA, MOU and SAA, the MPTFO, PUNOs, RNG, including the GCE and NE recognize the importance for all their respective staff, individual contractors, implementing entities and partners, vendors and any third parties involved in project activities to adhere to the highest standards of integrity as defined by each relevant United Nations organization.
- 14.6 **Sexual Exploitation and/or Sexual Abuse, and/or Sexual Harassment and Reporting Wrongdoing.** The United Nations, UN Women and the EIF Secretariat have zero tolerance for and are firmly committed to take all necessary measures to prevent and address instances of sexual exploitation sexual abuse, and [sexual harassment](#) in all programming activities, to report on [SEA in UN field missions](#) and report wrongdoing through the [Office of Internal Oversight Services](#) (OIOS). The MPTFO and PUNOs recognize that it is important that all United Nations staff, individual contractors, implementing entities and partners, vendors and any third parties which are involved either in joint

activities or in those of the MPTFO or PUNO will adhere to the highest standards of integrity and conduct as defined by each relevant United Nations organization and fund recipient and will not engage in Sexual Exploitation, Sexual Abuse and Sexual Harassment, which are defined as follows¹⁵:

14.6.1 **Sexual Exploitation** means any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another,

14.6.2 **Sexual Abuse** means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions; and

14.6.3 **Sexual Harassment** means any unwelcome conduct of a sexual nature, that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. Sexual harassment may occur in the workplace or in connection with work. While typically involving a pattern of conduct, sexual harassment may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

14.7 **Gender Equality Marker (GEM)**¹⁶. All EIF financed projects are classified under the United Nations UNCT GEM as GEM 3. The GEM tracks planned or actual financial investments in gender equality allocated by UNCTs within programmes or projects. A GEM 3 rating signifies project activities which are aimed particularly at narrowing gender inequality, transforming prejudicial gender norms, and/or women and girls' empowerment.

14.8 **Leaving no one behind (LNOB)**. EIF projects focus specifically on how to increase the meaningful participation of uniformed women in the security sector, to have their voices heard and respected and to influence decisions on peace and security issues that impact their and their family, community's and country's situation. EIF projects also seek to identify the persistent barriers to women in becoming members of their country's security sector, to collect and analyse disaggregated data on these gaps, and work with T/PCCs to design solutions to address these gaps, thereby contributing in some part, to the UN's 2030 Agenda for Sustainable Development and its Sustainable Development Goals (SDGs) within a country's security sector reform efforts.

¹⁵ ST/SGB/2019/8 United Nations Secretary-General's bulletin
<https://undocs.org/Home/Mobile?FinalSymbol=ST%2FSGSB%2F2019%2F8&Language=E&DeviceType=Desktop&LangRequested=False>

¹⁶ United Nations Sustainable Development Group, UNCT Gender Equality Marker Guidance Note, 2019, <https://unsdg.un.org/resources/unct-gender-equality-marker-guidance-note>

15 15.0 Annexes

Name	Completed	EN / FR
A. EIF GSU Assessment Template	Yes	
B. EIF Monitoring and Evaluation Framework (MEF) (2022)	TBC	
C. EIF Technical Committee Meeting Minute Template	Yes	
D. EIF Application Guidelines	Yes	
E. EIF Letter of Interest (LOI) Template	Yes	
F. EIF Detailed Proposal Templates	Yes	
G. EIF Budget XL - Template (FPF)	Yes	
H. EIF Budget XL - Template (MOWIP)	Yes	
I. EIF Budget XL -Template Explainer	Yes	
J. EIF PRODOC Executive Summary - Template	Yes	
K. EIF Funds Transfer Request - Template	Yes	
L. EIF PRODOC Revision Request - Template	Yes	
M. EIF Project Closure – Templates (BA, FPF, GSU)	In progress	
N. EIF HRDDP Implementation Framework	Yes	
O. EIF HRDDP TOR – Template	Yes	
P. EIF HACT Micro assessment TOR - Template	Yes	
Q. EIF PRODOC Tranche Request Template	Yes	
R. EIF Financial Report - Template	Yes	
S. EIF Financial Report - Template Explainer	Yes	
T. UN Women Standardized Risk Register – Template	TBA	
U. UNDP Vendor / Person Profile - Template	Yes	
V. EIF Explainer – how to fill out the UNDP Vendor / Person Profile	Yes	
W. Government (Central) Bank Letter - Template	Yes	
X. Government Certification of Signatures - Template	Yes	
Y. EIF Indicator Placemat	TBA	
Z. EIF Quarterly Reporting Barrier Assessment - MOWIP - Template	Yes	
AA. EIF Quarterly Reporting Flexible Project Funding - Template	Yes	
BB. Communications and Knowledge Management Strategy	TBA	

16 Acronyms

AA	Administrative Agent
BA	Barrier Assessment
CMS	Chief Mission Support
CRSV	Conflict Related Sexual Violence
CSO	Civil Society Organization
DCAF	Geneva Centre for Security Sector Governance
DED	Deputy Executive Director
DPO	Department of Peace Operations
ED	Executive Director
EIF	Elsie Initiative Fund for Uniformed Women in Peace Operations
EOSG	Executive Office of the Secretary-General
FPF	Flexible Project Funding
FTR	Fund Transfer Request
GCE	Government Coordinating Entity
GEM	Gender Equality Marker
GFP	Gender Focal Point
GSU	Gender Strong Unit
HACT	Harmonized Approach to Cash Transfer
HRDDP	Human Rights Due Diligence Policy
IPI	International Peace Institute
ITS	Integrated Training Services
LSE	London School of Economics
LOI	Letter(s) of Interest
MOA	Memorandum of Agreement
MOD	Ministry of Defence
MOI	Ministry of Interior
MOU	Memorandum of Understanding
MOWIP	Measuring Opportunities for Women in Peace Operations
MPTF	Multi-Partner Trust Fund
MPTFO	Multi-Partner Trust Fund Office
NGO	Non-Governmental Organization
NE	National Entity
NV	Note Verbale
ODCSS	Office of the Director of Coordination and Shared Services
ODA	Official Development Assistance
OIF	Organisation internationale de la Francophonie
OMA	Office of Military Affairs
PCC	Police Contributing Country
PCRS	Peacekeeping Capability Readiness System

PD	Police Division
PPID	Policy, Programmes and Intergovernmental Division
PRODOC	Project Document
PSMU	Project Support and Management Unit
PUNO	Participating United Nations Organization
RBCA	Risk Based Capacity Assessment (UN Women)
RC/RCO	Resident Coordinator / Office
RESDAL	Latin American Security and Defence Network
RNG	Recipient National Government
SAA	Standard Administrative Arrangement
SC	Steering Committee
SDG	Sustainable Development Goal(s)
SEA	Sexual Exploitation and Abuse
SFGC	Strategic Force Generation Cell
SGBV	Sexual and gender-based violence
SSR	Security Sector Reform
TC	Technical Committee
TCC	Troop Contributing Country
TOR	Terms of Reference
T/PCC	Troop / Police Contributing Country
UGPS	United Nations Uniformed Gender Parity Strategy 2018-2028
UN	United Nations
UNCT	United Nations Country Team
UNDG	United Nations Development Group
UNDP	United Nations Development Program
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNSDG	United Nations Sustainable Development Group
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
WinPK	Women in Peacekeeping
WPS	Women, Peace and Security