United Nations Road Safety Trust Fund

Operations Manual

22 November 2018
Geneva

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I.   Overview

A. Introduction, Scope and Purpose

The United Nations Road Safety Trust Fund (the Fund) was established[1] to further Sustainable Development Goals 3 and 11[2] by supporting concrete actions towards their related road safety targets, aligning with the five pillars of the Global Plan for the Decade of Action for Road Safety and contributing to strengthening national systems for road safety.[3]

The Fund was established in April 2018[4]   as a Multi-Partner Trust Fund to facilitate a concerted approach. Its Participating UN Organizations, or PUNOs[5] through the signing of the Fund MOU, allowed for the establishment of a Multi-Partner Trust Fund, leveraging collective knowledge, experience, expertise and fundraising capability of the UN to achieve the greatest global impact.

The purpose of this Manual is to provide a clear, transparent and accountable operating methodology, including procedures, principles, guidelines and criteria for contributing to the Fund and the award of Fund financing, in compliance with the Fund Operating MOU and its Terms of Reference (TOR),[6] in alignment with the Fund's Global Framework Plan of Action for Road Safety (Fund Global Framework)[7] and the Fund's Priorities and Criteria for Funding Projects (Funding Priorities).[8]

Through the foregoing governing documents, and the operational framework described herein, the Fund will provide financing for projects and activities that will achieve the Fund's Impact Indicators of long term developmental change:

- ❖ substantial reduction of road traffic fatalities and injuries; and
- ❖ reduced economic loss due to road traffic crashes.

This Manual is issued by virtue of Steering Committee Decision dated [date] (UNRSTF/SC/2018(X)/XX) with immediate effect, and may be amended only pursuant to Section VI below.

B. Overview of Functions

The following is a brief overview of the roles, responsibilities and functions of the stakeholders as same relate to the operations outlined herein, which are described in detail in the Fund TOR and Fund Operating MOU. Operational roles and responsibilities are further illustrated in the respective sections of this Manual.

Advisory Board

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[1] Resolution 70/260, Improving Road Safety; A/RES/70/260, 15 April 2016; Resolution 72/271 Improving Global Road Safety; A/RES/72/271, 18 April 2018.
[2] See sustainabledevelopment.un.org; in particular, targets 3.6 and 11.2.
[3] Established pursuant to A/Res/64/255.
[4] Pursuant to that certain Memorandum of Understanding between Participating UN Organizations and the United Nations Development Programme regarding Operational Aspects of the United Nations Road Safety Trust Fund (Fund Operating MOU).
[5] As of 17 October 2018, Fund PUNOs include: UNICEF, UNECE, UN-Habitat, ESCAP, ECA, UNDP, ECLAC, UNEP, ESCWA and WHO.
[6] UNRSTF Terms of Reference (TOR), 14 March 2018, as same may be amended.
[7] As proposed in Agenda Item 5, Global Framework Plan of Action for Road Safety, UNRSTF/AB/2018(1)/5-UNRSTF/SC/2018(1)/5, 19 July 2018, as same may be amended (Fund Global Framework).
[8] Fund's Priorities and Criteria for Funding Projects (UNRSTF/SC/2018(X)/XX) (Funding Priorities), as same may be amended from time to time.

The Advisory Board provides strategic direction to the Fund and its Steering Committee and advice and guidance on fund operations and oversight.

Steering Committee

The Steering Committee implements the strategic direction recommended by the Advisory Board. It is chaired by the head of a PUNO, and takes decisions on, *inter alia*, funding cycles, strategic focus and funding awards, pursuant to its Rules of Procedure, and monitors and evaluates Fund performance and risk.[9]

Secretariat

The Secretariat provides administrative, operational, logistical, and substantive support to the Fund and its governing bodies, and undertakes resource mobilization under the guidance and supervision of the Advisory Board and the Steering Committee.

Administrative Agent

The Administrative Agent, the United Nations Multi-Partner Trust Fund Office, administers the Fund pursuant to the Fund Operating MOU. The Administrative Agent has provided advice and support with respect to the establishment and design of the Fund, and carries out effective and impartial fiduciary management functions at the direction of the Steering Committee, and in close cooperation with the Secretariat (and at its direction where authority is so delegated by the Steering Committee).

Participating UN Organisations (PUNOs)

PUNOs, as signatories to the Fund Operating MoU, are eligible to apply for project funding as detailed in this Manual, which may include partnering with IPs to achieve programmatic goals. As provided in the Fund Operating MOU, each PUNO retains full programmatic and financial accountability to execute project activities, collect data, manage risk, manage funds awarded and disbursed, and report on developments, results and funds utilization in accordance with this Manual, and with full adherence to its organizational regulations, rules, directives and procedures (including those related to procurement, recruitment of staff and other personnel), and evaluation of and awards to IPs.

Viable Institutions

Pursuant to the Fund TOR, in addition to the participating United Nations organizations, and provided that a screening process assesses that the fiduciary securities and programmatic oversight criteria established jointly by the Steering Committee and the Administrative Agent are met, resources could also be allocated to other viable institutions, which would have the same obligations as PUNO's hereunder, pursuant to specific guidelines to be developed if and when the Fund governing framework permits such allocation.

Implementing Partners

Implementing Partners (IPs), which could include national authorities and other national, regional or international organizations and NGOs among other stakeholders, are engaged by PUNOs pursuant to established mechanisms. As such, IPs are responsible for the obligations outlined in the governing project documents, while the PUNOs assume full financial and programmatic accountability to engage and manage IPs in full compliance with governing standards, rules, regulations and agreements.

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[9] Rules of Procedure of the United Nations Road Safety Trust Fund Steering Committee, 10 August 2018, UNRSTF/SC/2018(1)/2/Rev.1, as same may be amended (Rules of Procedure).

Donors

Donors to the Fund have signed the Standard Administrative Arrangement (Donor SAA) with the Administrative Agent and have authorized the Administrative Agent to use the contribution for the purposes of the Fund in accordance therewith. Donors shall participate in and cooperate with the governance, oversight and promotion of the Fund, and shall be kept fully informed of the Fund's activities pursuant to the relevant governing documents.

II.   Funding Procedures

A. Donor Contributions

The Administrative Agent may accept contributions to the Fund from governments, intergovernmental or non-governmental organizations, the private sector, philanthropic organizations and individuals.

The Administrative Agent shall conduct due diligence pursuant to relevant UN guidelines prior to agreeing to accept a contribution from a non-State actor. Should a Donor request material deviations from the Donor SAA, such deviations shall require the prior approval of the PUNOs and the United Nations Development Group (UNDG) Fiduciary Management Oversight Group.

The Fund generally accepts un-earmarked, multi-year contributions. Country and thematic earmarking at the Outcome/Pillar level[10] will be accepted.

B. Establishment of Funding Cycle Parameters

A Funding Cycle is a period of time with a programmatic focus determined by the Steering Committee pursuant to the Funding Priorities and the Fund Global Framework. A Funding Cycle may include a Call for Proposals, with a predetermined amount of funding, as decided by the Steering Committee.

The Steering Committee, with the guidance and advice of the Advisory Board, shall decide the parameters of each Funding Cycle by issuing a *Decision on Funding Cycle*, which shall include:

   i.   Length of the Funding Cycle;

   ii.   Priorities and Focus (pursuant to the Funding Priorities);

   iii. Total Funding to be awarded;[11]

   iv.   Eligibility criteria established pursuant to the Funding Priorities including programmatic, geographical, risk and gender balance elements (Project Criteria); and

   v.   Call for Proposals parameters (specified in Section C, paragraph 1 below).

The Secretariat shall request the Administrative Agent to provide the total available funding on account, including earmarking, if any, for the Steering Committee's consideration.

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[10] See Fund TOR, Appendix (Outcome/Pillars 1 through 5).
[11] All project funding, activities and reporting are to be expressed in US Dollars.

C. Project Proposal Process and Criteria

1. Call for Proposals

The *Decision on Funding Cycle* shall direct the Secretariat to open a Call for Proposals, and shall contain all of the required parameters, including:

    i. Project Criteria;

    ii. Admissibility criteria including project amounts, duration, and Project Proposal Template requirements (see Section 2.a below);

    iii. Opening and closing dates and deadlines (date and time, including time zone), including permitted extensions; and

    iv. Other specific parameters (e.g., evaluation thresholds pursuant to Section III, limitation on allowable budget categories in paragraph 2 b) below, and aggregate risk tolerance).

The Secretariat shall promptly publish the Call for Proposal on the Fund's website and disseminate to relevant stakeholders.

Each Call for Proposal shall be denoted by a tracking number which may reflect the Funding Cycle, Call for Proposals, and other identifying information (e.g. year), pursuant to a numbering system established by the Secretariat.

The Steering Committee may determine to suspend or terminate a Call for Proposals, e.g., due to lack of response.

2. Project Proposal Requirements

    a) Project Proposal Templates

Proposals for Fund financed projects (Project Proposals) must include each of the required sections and annexes (together, the Project Proposal Templates, Annex 1) as follows:

    1) Proposal Cover Sheet;

    2) Project Proposal Detailed Description (Items I through VII, including Risk Assessment Matrix);

    3) Project Monitoring and Evaluation (Item VIII);

    4) Project Management and Partnerships (Item IX);

    5) Indicative Budget and Project Budget (Attachments X.a and X.b, in conformance with paragraph b) below); and

    6) Statement of Compliance (Item XI).

    b) Budget Requirements

The **Indicative Budget** (Annex 1, Attachment X.a) shall form the basis for the Project's results-based framework, with all anticipated programmatic and operational costs to support the project identified, estimated and fully costed under the relevant expected accomplishment(s).

The **Project Budget** (Annex 1, Attachment X.b) shall reflect the following, except as otherwise specified in the Call for Proposals:

1) Expressed utilising UN approved budget line item categories based upon the eight UN harmonised expense categories (established in 2008 by the UNDG and updated in 2012 by the Chief Executive Board) allowable pursuant to the Call for Proposals:

2) Budgeted amounts that reflect standard UN parameters, rates and costs (e.g., UN Standard Salary costs, Daily Subsistence Allowance rates, procurement principle of best value for money);

3) A maximum of seven (7%) per cent programme support, or indirect, costs;

4) An amount for independent evaluation pursuant to the threshold specified in the Call for Proposals; and

5) Budgeted activities required pursuant to the Risk Assessment Matrix.

D. Project Proposal Screening and Assessment

1. Project Proposal Screening

The Secretariat shall perform a review of each Project Proposal on a rolling basis upon receipt, for admissibility.

A Project Proposal is *admissible* if:

i. It is submitted in the format of the Project Proposal Templates, following all requirements and recommended page lengths.

ii. It is submitted in a format that is accessible, openable, readable and printable.

iii. The project documents are compliant with required parameters described in Section II.C above.

iv. All documents and attachments are submitted in signed, final form.

Prior to the submission deadline, where submissions are incomplete, the Secretariat will endeavor to notify the submitter for correction as time and resources permit.

Following the submission deadline, the Secretariat shall review all timely Project Proposals for admissibility. As time and resources permit, the Secretariat will endeavor to notify the submitter(s) of non-compliant Project Proposals and to provide a period for correction, which shall not exceed five (5) business days. Non-compliant Project Proposals may be rejected prior to assessment.

The Secretariat shall maintain an electronic registry of each Project Proposal received and its disposition.

2. Project Proposal Assessment

The Secretariat will facilitate the assessment of Project Proposals received in response to the Call for Proposals (Proposal Assessment). Each Project Proposal shall be assessed and scored using appropriate project assessment guidelines against the Project Criteria.

Following the Proposal Assessment, the Secretariat shall facilitate and finalize a report of results (Proposal Assessment Report) to be presented to the Steering Committee, along with all Project Proposals, as a part of its next meeting agenda. The Proposal Assessment Report shall include:

i. The number of eligible proposals;

ii.   The total funding sought;

iii.   A brief summary of each Project Proposal;

iv.   Proposal Assessment scoring (against Project Criteria); and

v.   A scored ranking of eligible Project Proposals, where the total amount sought exceeds the funding available.

E. Project Approval and Funding

1. Project Consideration and Approval

In considering the Project Proposals, the Steering Committee may seek revisions, adjustments and additional information.

Following review and deliberation, the Steering Committee may decide to deny or approve a Project Proposal, return it for adjustment, or table the Project Proposal for a future date.

The Steering Committee may consider all of the information provided in the Proposal Assessment Report, along with the ultimate profile of approved Project Proposals in the aggregate (e.g., proportionate risk, duration and focus concentration).

2. Decision on Project Funding

The Steering Committee shall decide on all Project Proposals in the Proposal Assessment Report by issuing a *Decision on Project Funding*, which shall set forth a brief summary of each Proposed Project it has approved for funding (Approved Project) including total budget and duration. The Steering Committee may also establish a "reserve list" of Approved Projects to be awarded funds should they become available during the Funding Cycle.

The Project Proposal, as approved, shall form the programmatic documents (Approved Project Documents) that govern the Approved Project.

The Secretariat shall publish the *Decision on Project Funding* in the same manner as the Call for Proposals, and shall take the necessary steps to request the Administrative Agent transfer funds, pursuant to paragraph 3 below.

3. Transfer of Funding by Administrative Agent

To request the transfer of funds to a PUNO for an Approved Project, the Secretariat shall submit a **Transfer Request Form for Approved Programmes** (TRF, Annex 2) for each such transfer. The TRF shall include the amount of funds to be transferred to the PUNO(s) as approved in the *Decision on Project Funding*, organized according to the Outcome/Pillars as set forth in the Approved Project Documents, and shall be signed by the Steering Committee chair and the PUNO(s) to receive the funds.

The Secretariat shall attach all required supporting documentation, including the *Decision on Project Funding*, the Approved Project Documents, required reporting as set forth in Section IV, and any other supporting attachments required.

The Administrative Agent shall ensure that all submitted documents are consistent with the applicable provisions of the Fund MOU and Donor SAA, and shall transfer funds as provided in the Approved Project Documents, no later than five (5) working days after the receipt of the TRF and supporting documents. Upon completion of the transfer, the recipient PUNO(s) shall notify the Secretariat through electronic mail.

Fund transfers shall originate only from the Administrative Agent to the PUNO(s). Fund financing may not be transferred between or among PUNOs at the project level. A PUNO may transfer funds to project IPs and service providers pursuant to its approved framework.

F. Special Provisions on Conflict of Interest

The Steering Committee shall not approve a Project Proposal for funding where such approval could reasonably be perceived to present a potential or actual conflict of interest on the part of the Steering Committee or Advisory Board members.

"Conflict of interest" shall refer to circumstances where, by act or omission, a party's private interests or those of his or her family members, such as outside professional relationships or personal financial assets, interfere or appear to interfere with the proper and impartial performance of his or her professional functions or obligations. A member's vote with respect to awarding a project to the PUNO at which the member is employed, without more, shall not constitute a de facto conflict of interest.

Members of the Advisory Board and Steering Committee may not be engaged by (or receive financial or personal benefit from) Approved Projects as employees, consultants, individual contractors, vendors or implementing partners; whether individually or through corporate ownership, participation or benefit.   The foregoing shall not apply to a Steering Committee or Advisory Board member's official capacity as a staff member of a PUNO, subject to the foregoing paragraphs and the prohibitions contained in the Rules of Procedure against conflicts of interest.

Personnel engaged or contracted by the Secretariat to perform Project Assessments are prohibited from i) any involvement in the preparation of the Project Proposal; and ii) any involvement with the Approved Project, whether as employee, consultant, contractor or otherwise, including through an IP or vendor.

G. Project Adjustment, Amendment and Early Termination

1. No-cost extension

Where a PUNO wishes to extend the duration of an Approved Project without additional cost, and for a duration not to exceed six (6) months, the Secretariat is empowered to grant one (1) such extension provided the PUNO is in compliance with all reporting requirements and shows a reasonable likelihood of completing the project activities within the extended end date. The PUNO shall update the Approved Project Documents accordingly and provide same to the Secretariat, who shall notify the Steering Committee of the extension and the reasons therefor.

2. *De Minimis* reallocation

A PUNO may reallocate amounts between budget categories up to a maximum of fifteen (15%) per cent of the Project Budget line item total, and same shall be reflected in the Approved Project's annual and final report(s) pursuant to Section IV.

3. Adjustments requiring amendment

Should a PUNO determine that, due to unforeseen circumstances, an increase in funding, a reallocation above the threshold specified in paragraph G.2, or an extension of the duration of the project beyond that allowed pursuant to paragraph G.1 is required to achieve project outputs, the PUNO may seek an amendment of the Approved Project Documents (Project Amendment). Any substantive change to the

scope of the project (e.g., nature, content, sequence or duration) as set forth in the Approved Project Documents shall require a Project Amendment.

A request for Project Amendment, including a clear and compelling justification, shall be presented to the Secretariat for review. If the proposed amendment is approved by the Secretariat in form, it shall be placed on the next Steering Committee meeting agenda. The Steering Committee may seek revisions, adjustments and additional information, either prior to, or at its meeting.

Should the Steering Committee approve the proposed Project Amendment, a *Decision on Project Amendment*, reflected in the meeting decisions of the Steering Committee, shall be transmitted through the Secretariat to the Administrative Agent with respect to changes to the Approved Project Documents, and/or transfer of additional funds pursuant to Section II.E, paragraph 3.

Should the Steering Committee deny or table the Project Amendment, it shall issue a decision accordingly, and the Secretariat shall promptly distribute such decision to all relevant parties.

4. Early Termination

An Approved Project may be terminated by decision of the Steering Committee if, in the reasonable opinion of the Steering Committee or the PUNO, the PUNO is unable or unlikely to carry out the activities under the Approved Project.   The obligations assumed by the Fund and the PUNO shall survive such termination to the extent necessary to permit the orderly conclusion of activities; the withdrawal of personnel, funds and property; reporting pursuant to Section IV; the settlement of accounts pursuant to Section VII; and the settlement of contractual liabilities as required with respect to personnel, contractors, consultants or suppliers.

III.   Monitoring and Evaluation

This Section outlines the results-based framework for monitoring and evaluating individual projects and the Fund as a whole, including the respective requirements and responsibilities, and how the resulting information will be used.

The Fund's monitoring and evaluating (M & E) framework starts at the proposal stage, with each Project's Indicative Budget and the monitoring and evaluation measures in the Approved Project Documents, which together illustrate the expected results of the project expressed in the hierarchy of impact, outcome (expected accomplishments) and outputs/activities, and incorporate evaluation metrics expressed in terms of relevance, efficiency, effectiveness, impact and sustainability. This framework (Project M & E Framework) provides the basis for project reporting under Section IV, and Project M & E under this Section. Such monitoring shall include the monitoring and ongoing management of risk as set forth in the Approved Project Documents, and as provided in the Fund Risk Management Strategy (Section V).

Project level reporting and Fund operational monitoring are used in tandem by the Fund to inform future operations and ensure continued progress towards its objectives, by strengthening the efficiency, efficacy, impact and sustainability of the Fund, and the projects it supports.

A. Project Level M & E

The Project M & E Framework is utilized as a project management tool, providing a mechanism by which PUNO project leaders and staff may observe, track and verify the progress and achievements of the Approved Project and their efforts and management thereof. The Project M & E Framework also

allows the Advisory Board, the Steering Committee and the Secretariat to provide structured oversight on project achievements.

1. Project Monitoring

    a) PUNO Roles and Responsibilities

Project monitoring is the primary responsibility of each PUNO and shall be conducted pursuant to the Project M & E Framework as outlined in the Approved Project Documents. This should include monitoring progress and achievements on a day-to-day basis; for example, by ensuring that the preparatory steps for activities are on schedule, managing the delivery of outputs by IPs and other project staff and partners, and tracking expenditures, which will provide information and insights to drive corrective action where necessary. In service of the foregoing, each PUNO shall develop and utilize tools to effectively monitor and track key project dates, deadlines and outputs.

PUNOs are responsible for the collection of data and the calculation of outcome indicators pursuant to the metrics outlined in the Approved Project Documents and in compliance with Secretariat guidelines, to identify necessary corrective action, to meet milestone reporting as provided in Section IV (Annual, progress payment, and final), and to manage risk as required under Section V. These measures are designed to keep key stakeholders informed regarding progress, achievements and challenges, to manage future expectations and drive future action. PUNOs must ensure that resources sufficient to fully implement the M & E measures illustrated in the foregoing paragraphs, as set forth in the Approved Project Documents, are anticipated, costed and budgeted at the Project Proposal stage.

Each PUNO is required to notify the Secretariat in the event of a Material Change, defined as:

    i.   A material risk that one or more of the project deadlines or outputs may not be met;

    ii.   A material change to the Risk Profile in the Approved Project Documents; or

    iii.   A condition where any of the undertakings in the Statement of Compliance is no longer true.

With respect to items ii) or iii) above, such notification (along with proposed appropriate remedial measures) must be made promptly upon discovery, but in any event within ten (10) business days. Failure to notify the Fund of such developments may impact future funding disbursements.

    b) Secretariat Roles and Responsibilities

The Secretariat will conduct Fund level monitoring by analyzing measures through the reporting required under Section IV and Material Change reporting, and by providing general oversight.

The Secretariat may recommend the Steering Committee discuss additional monitoring measures such as additional progress reporting or site visits where progress consistently falls short of expectations and timelines.

2. Project Evaluation

    a) PUNO Roles and Responsibilities

Each PUNO shall conduct and/or commission evaluations of project achievements, including contributions to the overall impacts of the Fund pursuant to the Project M & E Framework and the thresholds established in the Call for Proposals. Such evaluations shall form a part of the reporting required under Section IV.

Each PUNO shall make available to the Secretariat and Steering Committee upon request all evaluation reports related to the Approved Project, in addition to the reporting required under Section IV.

b) Secretariat Roles and Responsibilities

The Secretariat shall review all such evaluations for consistency and consolidation purposes, and compliance with the Approved Project Documents, and shall escalate questions, concerns and issues as appropriate.

B. Fund Level M & E

At the Fund level, M & E will allow the Fund to benefit from best practices developed and lessons learned, to gain insights into new areas of value added by the work undertaken by Approved Projects, and to ensure Funding Priorities are effectively focused on achievement of Fund objectives.

1. Fund Monitoring

a) Secretariat Roles and Responsibilities

Pursuant to the Fund TOR, the Secretariat shall conduct continuous monitoring at the Fund level based on the data, information and reporting required of PUNOs pursuant to this Section and Sections IV and V.

The Secretariat is the first level entity of review with respect to overall monitoring of Fund project performance and Material Change and other disclosures in the context of timely and satisfactory delivery of outputs in line with Fund objectives. The Secretariat shall also monitor Fund operational issues and efficacy including potential legal and financial issues, operational timelines, staffing and capacity. The Secretariat shall escalate issues of concern to the Steering Committee and Advisory Board as required.

The Secretariat shall develop and utilize tools to monitor and track Approved Project end dates and closure, as well as key Fund operational dates and deadlines.

b) Steering Committee Roles and Responsibilities

The Steering Committee, with the assistance of the Secretariat, shall monitor adherence to the Fund's timelines and ensure Fund projects and activities fall within the Fund's end date, and that PUNOs take appropriate steps for timely closure of Approved Projects.

2. Fund Evaluation

a) Context and Frequency

Fund level evaluations shall be conducted as follows:

An annual self-assessment of the Fund shall be conducted by the Steering Committee in the context of the Fund Annual Report, to determine progress relative to Fund objectives, Funding Priorities, and operational efficacy. Such self-assessment shall incorporate the RMS measures in Section V.

Independent evaluations of the Fund shall be commissioned by the Steering Committee to evaluate the Fund's performance against the Results Based Indicators set forth in in the Fund TORs. The planning and consultations for such evaluations shall begin at least twelve (12) months prior to commencement.

b) Roles and Responsibilities

The Secretariat shall manage Fund and selected project evaluations, internally or through external consultants, as appropriate, with the guidance of the Steering Committee. All evaluations shall be conducted in conformance with UNEG norms and standards.

The Steering Committee is responsible for evaluating the overall implementation of the Fund against the Results Based Indicators in the Fund TOR, by documenting ongoing lessons learned and best practices, identifying challenges and success strategies, and identifying and evaluating risk and mitigation measures pursuant to Section V.

The Advisory Board or the Steering Committee may consider holding a meeting or focusing existing meetings of the Fund, pursuant to the Fund TOR, to evaluate the performance of the Fund.

IV. Reporting

A. Reports (Annual, Progress and Final)

Pursuant to the Fund Operating MOU, each PUNO must provide results-oriented and evidence-based narrative and financial reports to the Secretariat and Administrative Agent in compliance with this Manual, Administrative Agent guidance and templates, and its own rules, guidelines and procedures, prior to the dates stipulated.

An annual narrative and financial report shall be required for each year or part thereof in which project activities took place or funding was disbursed.

1. Narrative Reports

a) PUNO Reporting

Each PUNO shall provide **annual** narrative reports for year ended 31 December to the Secretariat on or before 31 March of the following year. **Final** narrative reports are to be provided to the Secretariat on or before 30 April following the year of operational closure of the activities in the Approved Project Documents, or within six (6) months of such operational closure, whichever is earlier.

All narrative reports shall be results-oriented and evidence based, and shall compare actual results with expected results at the output and outcome level, and describe the reasons for over or under achievement, in compliance with the Approved Project Documents.

Each final narrative report shall contain an analysis of how the outputs and outcomes have contributed to the overall impact(s) of the Fund.

b) Secretariat Consolidation

The Secretariat shall consolidate all annual narrative reports and shall provide a harmonised Fund level narrative report to the Administrative Agent on or before 15 May of the following year.

2. Financial Reports

Financial reports shall be prepared and certified in accordance with the accounting and reporting procedures of the PUNO as set forth in the Fund TOR, and are to be provided to the Administrative Agent through the MPTFO Gateway pursuant to guidance published therein.

Annual financial reports for year ended 31 December are due by 30 April of the following year.

Certified final financial statements and final financial reports are due by 31 May following the year of financial closure of activities in the Approved Project Documents (or pursuant to the PUNOs financial rules and regulations, whichever is earlier).

3. Updated Progress Reports

Where a PUNO requests disbursement of a payment tranche under the Approved Project Documents, the Secretariat may require the PUNO to supplement the most recent report(s) in order to justify such disbursement, through submission of an Updated Progress Report. Such Updated Progress Report must evidence the satisfaction of all project requirements in the Approved Project Documents, including the utilization of at least seventy (70%) percent of the prior disbursed amount. Following review and acceptance of the Updated Progress Report, the Secretariat shall instruct the Administrative Agent to disburse the respective payment pursuant to Section II.E, paragraph 3.

B. Fund Reporting

The Administrative Agent shall provide to the Advisory Board, the Steering Committee, PUNOs and Fund donors, annual consolidated narrative and financial reports (Fund Annual Report) based on the monitoring data and analysis and reporting required under Sections III and IV hereof, and in the context of the Fund timelines and operating modes, on or before 31 May of the following year. The Fund Annual Report shall also be posted at the website of the Administrative Agent (www.mptf.undp.org).

The narrative portion of the Fund Annual Report shall provide an analysis of Fund performance with respect to achievements in the context of the Fund Global Framework, the Outcome/Pillars and the Funding Priorities, based on quantifiable measures of progress. The narrative shall reflect the performance of each Approved Project as consolidated by the Secretariat pursuant to Section IV.A, paragraph 1b.

The financial portion of the Fund Annual Report shall include consolidated annual financial statements for all Approved Projects active during the relevant period.

The Administrative Agent shall also provide a Fund Final Report following the same format, on or before 31 May of the year following the year in which financial closure of the Fund occurs, as provided in the Fund MOU.

V.   Risk Management

The Fund Risk Management Strategy (RMS) provides guidelines and modalities to monitor and manage potential future events that may negatively affect the achievement of the Fund's objectives at the project and Fund levels. The RMS supports and promotes a shared understanding, providing a framework to ensure that risks at all levels are effectively managed.

Section A below defines the process by which risks are identified, analyzed and evaluated, including tools and methodology. Sections B and C address risk management at the project and Fund levels, describing risk mitigation strategies and defining roles and responsibilities, and reporting and analysis timelines. Section D contains an overview of the RMS life cycle including project and Fund level action. Section E describes best practices in risk management communication, and defines the obligations of relevant stakeholders.

A. Risk Assessment Guidelines and Methodology

Risk management comprises the following steps at both the project and Fund levels:

  i.   Identification of risks and risk owners;

  ii. Analysis and scoring of risk likelihood and impact;

  iii. Development of mitigation and control measures; and

  iv. Monitoring, assessment, evaluation, and adjustment.

These steps are undertaken through the use of risk management tools, starting with a **Risk Assessment Matrix** (Annex 3), where risks are identified, quantified and scored. The **Risk Assessment Matrix** is used to set a benchmark **Risk Profile**, which represents a "snapshot" of the assessed project risks as of a moment in time. The process of monitoring and managing risk is captured in the **Risk Register** (Annex 4), for tracking and reporting purposes.

  1. Identification of Risks and Risk Owners

Identification of risk involves consultation with stakeholders and discussion and development of each of the potential ways in which achievement of desired results could be thwarted. Identification of the person best placed to monitor, manage and implement mitigating measures for each risk (Risk Owner) should take place at an early stage, to allow meaningful participation and consultation.

Risks within the Fund and project frameworks generally fall into the following non-exclusive categories:

  ➢ Strategic
  ➢ Environmental
  ➢ Financial
  ➢ Operational
  ➢ Organizational
  ➢ Political
  ➢ Regulatory

The Risk Owner shall bear responsibility for monitoring and reporting on the status of the risk to the party responsible for maintaining the Risk Register, and for managing and implementing mitigation measures with the advice and guidance of relevant stakeholders.

  2. Analysis of Likelihood and Impact

Risk assessment includes a quantitative analysis of the likelihood that a risk will occur, and its potential negative impact, which generally include a delay or reduction in results, a reduction in their quality, an increase in costs, and a failure to meet timeframes.

Risks are scored based on a combination of likelihood and potential impact pursuant to the scoring guide in Table 1.

T.1: Risk Likelihood and Impact Scoring Guide

<table>
<tr><td colspan="2" rowspan="2"></td><td colspan="5">Impact</td></tr>
<tr><td>Insignificant</td><td>Minor (2)</td><td>Moderate (3)</td><td>Major (4)</td><td>Extreme (5)</td></tr>
<tr><td rowspan="4">Likelihood</td><td>Very Likely (5)</td><td>Medium (5)</td><td>High (10)</td><td>High (15)</td><td>Very High (20)</td><td>Very High (25)</td></tr>
<tr><td>Likely (4)</td><td>Medium (4)</td><td>Medium (8)</td><td>High (12)</td><td>High (16)</td><td>Very High (20)</td></tr>
<tr><td>Possible (3)</td><td>Low (3)</td><td>Medium (6)</td><td>High (9)</td><td>High (12)</td><td>High (15)</td></tr>
<tr><td>Unlikely (2)</td><td>Low (2)</td><td>Low (4)</td><td>Medium (6)</td><td>Medium (8)</td><td>High (10)</td></tr>
</table>

Where risks are assessed as "Low" no action is needed unless the assessment changes.

Where risks are assessed as "Medium" mitigation actions should be identified and costed for potential action if funds permit.

Where risks are assessed as "High" mitigation actions **must be identified, budgeted, and planned for implementation**.

Where project risks are assessed as "Very High" mitigation actions must be **identified, budgeted, and planned for *immediate* implementation**.

3. Mitigation and Control Measures

Each risk should be addressed using one or more of the following mitigation strategies to reduce the likelihood and impact of the risk:

➢ **Prevent** the risk, or its impact on objectives;

➢ **Reduce** the likelihood or impact;

➢ **Transfer** the risk to a party best able to bear it (e.g., insurance coverage);

➢ **Plan** for contingent action to implement should the risk occur; and/or

➢ **Accept** the risk based on compelling factors such as cost/benefit analysis.

The Risk Assessment Matrix should reflect mitigation measures and how and when they should be implemented, which is memorialized as of a moment in time in the Risk Profile.

B. Risk Management at the Project Level

1. Risk Management by PUNOs

Risk Management at the project level starts with the use of the Risk Assessment Matrix and scoring within the Project Proposal Templates, to arrive at the Project Risk Profile, submitted by PUNOs as part of the Project Proposal. Following Project Approval, the Project Risk Profile shall form part of the Approved Project Documents. PUNOs (through, e.g., project leaders and staff and IPs) monitor the status of risk and mitigation measures set forth in the Project Risk Profile through the Project Risk Register.

PUNOs are responsible for updating the Project Risk Profile for inclusion in periodic reporting required under Section IV, and according to the M & E framework in Section III; escalating as required (e.g., in the event of a Material Change).

PUNOs shall report to the Secretariat on a semi-annual basis with respect to the status of any risk within the Project Risk Profile scored at Very High.

2. Risk Management by the Secretariat

At the Project Proposal stage, the Secretariat facilitates the Project Assessment, which includes evaluation of the Risk Profile which ultimately forms a part of the Approved Project Documents. The Secretariat provides information to the Steering Committee with respect to the Approved Project's scoring against Project Criteria, including risk-based criteria.

The Secretariat monitors any risk in the Approved Project Risk Profile scored at Very High through the Fund Risk Register, as described in greater detail below.

C. Risk Management at the Fund Level

1. Risk Assessment Process

   a) Steering Committee

The Steering Committee shall determine and update the Fund Risk Profile, in consultation with the Advisory Board:

   i.   Prior to the initial Funding Cycle; and

   ii.   as part of the evaluation process (annual review and independent evaluation) provided in Section III.[12]

This exercise shall take into account the areas of Fund risk and mitigation measures outlined in paragraph 2, below.

   b) Secretariat

The Secretariat shall maintain the Fund Risk Register to monitor the status of risks and implementation of mitigation measures set forth in the Fund Risk Profile, as well as Approved Project risks assessed as Very High. The Secretariat shall report to the Steering Committee, the Advisory Board, and other relevant stakeholders prior to each regular (twice yearly) meeting with respect to such status, as well as

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[12] Fund Risk Assessment Template, Annex 3.

on emerging issues such as Material Changes reported by PUNOs that may impact the Fund Risk Profile.

2. Potential Areas of Fund Risk

The following represents areas of particular risk to the achievement of Fund objectives:

Operational Risk. The Fund is prevented from making progress towards its objectives because of administrative or procedural capacity, bottlenecks or roadblocks. These risks are mitigated through proper planning, the engagement of staff with administrative and operational expertise, and thorough, complete and consistent operational frameworks and practices.

Funding Risk. The Fund is unable to attract donors or project proposals, conduct meaningful funding exercises, or award funds in an amount sufficient to achieve Fund objectives. These risks are mitigated through a robust fundraising strategy, a well-funded and well-staffed operational capacity, and a successful and engaging marketing plan with the full participating of partners

Reputation Risk. The potential success of the Fund is hampered by issues concerning perceptions regarding independence, transparency or integrity of its operations and/or relationships with donors or partners. Such risks are mitigated through policies and procedures designed to ensure independence, transparency, best practices and advance due diligence and disclosure.

Portfolio Risk. The active projects within the portfolio are particularly risky, are underperforming, are heavily concentrated in one programmatic theme or geographical area, or are too heavily focused on immediate or long-term results. This risk may be mitigated through diversification; that is, by awarding funding to projects that, at an aggregate level, represent a desirable mix of risk levels, short-term versus long-term results, and thematic and geographical concentrations.

In developing and updating the Fund Risk Profile, the Steering Committee will address risks within each of these areas (and other identified areas) pursuant to the methodology in Section V.A.

D. Risk Management Life Cycle

Table 3 illustrates the RMS life cycle, as applied at the Fund and the project levels.

T.3 Risk Management Life Cycle

	Responsible Party	Action	Frequency	Result
Step 1	Steering Committee (with the support of the Secretariat and in consultation with the Advisory Board)	Perform an initial Fund Risk Assessment using the Risk Assessment Matrix.	Following promulgation of the Operations Manual	Fund Risk Profile (as of a certain date)
Step 2	Secretariat	Establish a Risk Register for the Fund to monitor Fund Risks identified by the Steering Committee in the Fund Risk Profile, and Approved Project risk scored as Very High.	Following promulgation of the Operations Manual	Fund Risk Register

Step 3	Steering Committee (with the support of the Secretariat and in consultation with the Advisory Board)	Establish (through promulgation of the Funding Priorities) Project Criteria including risk-based criteria	Periodically as determined by the Steering Committee	Funding Priorities (including Project Criteria)
Step 4	Steering Committee (with the support of the Secretariat and in consultation with the Advisory Board)	Determine (based on the Funding Priorities and Project Criteria contained therein) the appropriate risk parameters and proportion for the Funding Cycle, for inclusion in the Call for Proposals process.	Prior to each Funding Cycle	Call for Proposals Project Criteria and scoring methodology (included in the Decision on Funding Cycle)
Step 5	PUNO (project leaders and staff)	Develop information to input into Risk Assessment Matrix through research, analysis and consultation with relevant stakeholders.	As part of the project planning process	Comprehensive data for risk assessment as part of the Project Proposal process.
Step 6	PUNO (project leaders and staff)	Complete Risk Assessment Matrix, including the identification and scoring of each risk, naming of Risk Owners, and inclusion of mitigation and control measures. Budget activities as required.	At the Project Proposal stage.	Project Risk Profile

Project Budget (as required) |
| **Step 7** | Secretariat/Project Assessor(s) | Assess Project Risk Profile (including budgeted activities where required) against the Project Criteria (including risk-based criteria) and assign a score. | At the Project Assessment stage. | Project Assessment Report (including score as against Project Criteria) |
| **Step 8** | Steering Committee | Review Project Assessment Report, decide on project funding based on Project Criteria. | At the meeting to consider the Project Assessment Report. | Decision on Project Funding. |
| **Step 9** | PUNO of Approved Project(s) (project leaders and staff, IPs) | Monitor risk, implement measures, and maintain a Project Risk Register. Report on progress as required, including ad hoc reporting for any Material Change. | From Approved Project commencement through the life of the Project. | Project Risk Register

Ad Hoc Reporting

Very High risk) reporting (semi-annual)

Annual Reporting

Evaluations |
| **Step 10** | Secretariat | Monitor Fund level risks, seek information and update status periodically as required. Report to relevant stakeholders monthly. Include in the Fund Risk Register | On an ongoing basis. | Updated Fund Risk Register

Risk Status Report (for SC regular meetings) |

		any Project level risk scored at Very High.		
Step 11	Steering Committee	Review periodic reporting on risk and Fund performance. Perform a Fund Risk Assessment to update the Fund Risk Profile as part of the Fund evaluation process.	On an ongoing basis.	Updated Fund Risk Profile Fund Assessments Fund Evaluations
Step 12	Advisory Board	Review all reporting on risk issues, and advise Steering Committee as necessary. Provide guidance and input on Risk Assessment process, Fund Assessment and Fund Evaluations with respect to risk based issues	On an ongoing basis.	Updated Risk Profile Fund Assessments Fund Evaluations

E. Risk Management Communication

Risk management-based communication is generally educational, actions related, informative, and/or resolution oriented, as follows:

Educational: Through RMS standardized tools and guidance, stakeholders enjoy a shared understanding of risk, likelihood, impact and mitigation.

Action-Related: Stakeholders at all levels monitor and inform with respect to i) action that is required with respect to identified and changing risk, and ii) action that is imminent or underway to implement mitigation measures.

Informative: Stakeholders inform each other regarding risk status, emerging issues and Material Changes.

Resolution-oriented: Stakeholders communicate with each other to develop best practices and strategies to effectively manage risk.

The frequency and nature of such communication shall follow the RMS, the M & E requirements (Section III) and reporting requirements (Section IV), summarized generally in Table 2.

T.2 Risk Based Communications

Stakeholder	Nature of Communications	Recipient(s)	Frequency
Advisory Committee	Provides guidance and consultation	Steering Committee; Secretariat	Following annual meetings and upon request
	Raises issues of concern	All relevant stakeholders, through the Steering Committee and the Secretariat	Ad hoc as warranted
Steering Committee	Fund Risk Assessment	Advisory Committee, Donors, PUNOs, Secretariat, Administrative Agent	Prior to first Funding Cycle; annually thereafter.

	Evaluations	Advisory Committee, Donors, PUNOs, Secretariat, Administrative Agent	During planning stage & upon completion
	Raises ad hoc issues of concern (including Material Changes as warranted)	Advisory Committee, Donors, PUNOs, Secretariat, Administrative Agent	Ad hoc, escalation timing to depend on risk level and potential impact
Secretariat	Maintains Fund Risk Register	All relevant stakeholders for reporting and information/escalation	As needed based on reporting schedule and potential impact
	Facilitates communication between stakeholders and necessary action	All relevant stakeholders for reporting and information/escalation	As needed based on reporting schedule and potential impact
PUNOs	Project monitoring (per Project M & E Framework) and risk and performance data collection required for reporting	Implementing Partners	Per the Project M & E Framework and IP project documents and reporting
	Required periodic monitoring and reporting	Steering Committee, Secretariat, Administrative Agent	Per periodic requirements
	Material Changes	Steering Committee, Secretariat	Promptly/within ten (10) business days
Implementing Partners	Project monitoring (per Project M & E Framework) and risk and performance data reporting	PUNO partner	Per the Project M & E Framework and IP project documents and reporting
	Material Changes	PUNO partner	Per the Project M & E Framework and IP project documents and reporting

VI.   Audit

Audits are to be performed pursuant to the Fund Operating MOU, which provides that Fund activities of PUNOs and the Administrative Agent will be exclusively audited by their respective internal and external auditors, in accordance with their own financial regulations and rules. The internal audit services of the participating United Nations organizations may conduct joint internal audits in accordance with the Framework for Joint Internal Audits of United Nations Joint Activities. In doing so, the Internal Audit Services of the participating organizations will consult with the Steering Committee.

The Steering Committee will commission independent reviews and/or evaluations on the overall performance of the Fund pursuant to Section III.

In the event a PUNO, its management, investigative service or audit service, or any external investigative body, undertakes an investigation or review of the use of Fund financing, or the operations of any IP in receipt of Fund financing, the PUNO shall promptly notify and inform the Secretariat and the Steering Committee of the nature of the investigation or review and all related information, provided same does not violate the PUNO's financial regulations and rules.

VII. Final Provisions

A. Closure of Projects and Fund

1. Project Closure

Following expiration, completion of activities, or early termination of an Approved Project, each PUNO is required to

    i.   inform the Secretariat and the Administrative Agent of the operational closure of the Approved Project;

    ii.   Timely submit final reports pursuant to Section III; and

    iii.   Return any remaining balance to the Administrative Agent by bank transfer to the Fund.

Upon the PUNO's completion of the foregoing, the Administrative Agent will perform the financial closure of the Approved Project in the project management system, and inform the Steering Committee, through the Secretariat, of the Approved Project's formal closure.

The foregoing shall also apply to direct cost allocations, for example, for the operation of the Secretariat.

2. Fund Closure

The Administrative Agent shall take the following steps to effect closure of the Fund.

    i.   Verify that all Approved Projects have been financially closed;

    ii.   Verify that all Fund direct costs projects have been financially closed;

    iii.   Verify that all interest has been received pursuant to the Fund MOU;

    iv.   Refund to Donors the balance of the account (including interest) pursuant to the Donor SAA;

    v.   Issue the certified final report of the activities of the Administrative Agent; and

    vi.   Effect closure of the Fund in the project management system.

B. Amendments to the Operations Manual

This Manual may be amended from time to time by the Secretariat, provided that such amendments are not substantive and are consistent with the mandates, policies and procedures of the United Nations, as well as the Fund MOU, the Fund Terms of Reference, and the Donor SAA.

The Secretariat will initiate a review of this Manual periodically to ensure its continued relevance and conformance with applicable legal and operational rules, regulations and guidelines. Substantial revisions to this Manual shall require the approval of the Steering Committee.

C. Transparency

The MPTFO maintains the Gateway website (http://mptf.undp.org), a knowledge platform that provides regular data on implemented projects and financial information in real time, refreshed every two hours and from the MPTFO accounting system - ATLAS - on Donor commitments and deposits, approved project budgets, transfers to and expenditures reported by implementing entities, interest income and other expenses. The Fund shall have its own page on the Gateway website where information about the Fund and projects it finances shall be made available.

The Secretariat will ensure that each Decision on Project Funding, Approved Project Documents, and independent external evaluations pursuant to Section IV are made available to the public through the Fund web page of the Gateway platform.

The Administrative Agent will ensure the publication of Fund financial information (contributions, approved funds, funds transfers and expenses), as well as Fund reporting pursuant to Section III.

VIII. List of Annexes

Annex 1

Project Proposal Templates (as same may be adjusted by the Secretariat)

     i.   Proposal Cover Sheet;
     ii.   Project Proposal Detailed Description (Items I through VII including Risk Assessment Matrix);
     iii.   Monitoring & Evaluation Matrix (Item VIII)
     iv.   Project Management and Partnerships (Item IX)
     v.   Indicative and Project Budget (Attachments X.a and X.b); and
     vi.   Statement of Compliance (Attachment XI).

Annex 2

Transfer Request Form for Approved Programmes (MPTFO Form TRF)

Annex 3

Sample Fund Risk Assessment Matrix with scoring table

Annex 4

Sample Risk Register

IX.   Glossary of Terms

Administrative Agent. The United Nations Multi-Partner Trust Fund Office that administers the Fund pursuant to the Fund Operating MOU.

Advisory Board. The Fund's governing body which provides strategic direction to the Fund and its Steering Committee, and advice and guidance on fund operations and oversight, comprised of a broad range of stakeholders with a key interest in the Fund's objectives as prescribed by the Fund TOR, including members from UN and UN family bodies, organizations and commissions, Member State and private sector donors, and research and academia institutions; chaired by the Chair of the Global Forum for Road Traffic Safety for the initial biannual period of the Fund, and rotating biannually thereafter.

Approved Project. A project approved for funding by a Steering Committee *Decision on Project Funding*.

Approved Project Documents. The programmatic, financial and disclosure documents submitted as the Project Proposal and approved by the Steering Committee through its *Decision on Project Funding*.

Call for Proposals. The process by which the Fund solicits proposals for projects to be supported by the Fund.

Decision on Funding Cycle. The decision of the Steering Committee that sets forth the parameters for each Funding Cycle, including its length, priorities and focus, total funding available, project criteria and the requirements for (and number of) Call(s) for Proposals.

Donor. A government, intergovernmental, non-governmental, private sector or philanthropic organization or individual who has entered into the Donor SAA with the Administrative Agent and made a contribution to the Fund, and, for private donors, which has been evaluated by the Administrative Agent pursuant to standard UN due diligence policies and procedures.

Donor SAA. The standard form of agreement to be entered into by the Administrative Agent and any donor to the fund.

Fund. The United Nations Road Safety Trust Fund.

Fund Global Framework. The Global Framework Plan of Action for Road Safety, UNRSTF/AB/2018(1)/5-UNRSTF/SC/2018(1)/5, 19 July 2018.

Fund Operating MOU. The full executed Memorandum of Understanding between Participating UN Organizations and the United Nations Development Programme regarding Operational Aspects of the United Nations Road Safety Trust Fund.

Fund TOR. The UNRSTF Terms of Reference, 14 March 2018.

Funding Cycle. A period of time with a programmatic focus determined by the Steering Committee pursuant to the Funding Priorities and the Fund Global Framework by issuing a Decision on Funding Cycle, which may include a Call for Proposals with a predetermined amount of funding, as decided by the Steering Committee.

Funding Priorities. The Fund's Priorities and Criteria for Funding Projects, as same may be amended and reissued from time to time (UNRSTF/SC/2018(X)/XX).

Implementing Partner. An entity engaged by a PUNO to implement Approved Project activities pursuant to the PUNO's standard arrangements and procedures for engagement including transferring funds, monitoring, evaluating and auditing performance, ensuring, avoiding, preventing and detecting corrupt, fraudulent, collusive, coercive, unethical, or obstructive practices, and ensuring that funds are not used to provide support or assistance to individuals or entities associated with terrorism.

M & E. Monitoring and evaluation of project and fund performance and achievements.

Material Change. A material risk that one or more of the project deadlines or outputs may not be met; a material change to the Risk Profile in the Approved Project Documents; or a condition where any of the undertakings in the Statement of Compliance in the Application Package which forms a part of the Approved Project Documents is no longer true.

Participating UN Organisation (PUNO). A signatory to the Fund Operating MoU who is eligible to apply for project funding as detailed in this Manual.

Project Amendment. A substantive change to the scope of an Approved Project (e.g., nature, content, sequence or duration) as set forth in the Approved Project Documents including an increase in funding, a reallocation above the fifteen (15%) percent *de minimis* threshold, or an extension of the duration of the project beyond six (6) months. Project Amendments require the approval of the Steering Committee.

Project Criteria. The project Eligibility criteria established by the Steering Committee pursuant to the Funding Priorities, including programmatic, geographical, risk and gender balance elements against which Proposed Projects will be evaluated for funding.

Project M & E Framework. The framework comprised of the Indicative Budget and the Monitoring and Evaluation Matrix set forth in the Approved Project Documents, utilizing appropriate project management tools and measures, by which progress and developments are tracked, adjusted and reported.

Project Proposal. A proposal submitted by a PUNO to receive Fund financing for a project.

Project Proposal Templates. The package of forms, templates and documents required to submit a proposal in response to a Call for Proposals. It comprises of the following parts: Proposal Cover Sheet; Project Proposal Detailed Description (Items I through V); Monitoring & Evaluation Program (Attachment VI); Indicative and Project Budget (Attachments VII.a and VII.b); and Statement of Compliance (Item VIII). Such forms may be adjusted by the Secretariat as necessary to meet operational requirements.

Proposal Assessment. The process by which Project Proposals are assessed and scored against Project Criteria.

Proposal Assessment Report. The report of results of the Proposal Assessment exercise prepared by the Secretariat for the Steering Committee to consider in deliberating and deciding on project funding.

Risk Assessment Matrix. The document that provides the procedure for identifying and assessing risks to the Fund or its individual projects, and mitigation and control measures.

Risk Profile. The results of the assessment performed using the Risk Assessment Matrix as of a moment in time.

Risk Register. The log of identified risks, ratings, mitigation and control measures, through which risk owners may track progress and developments.

Rules of Procedure. The Rules of Procedure of the United Nations Road Safety Trust Fund Steering Committee, 10 August 2018, (UNRSTF/SC/2018(1)/2/Rev.1).

Secretariat. The administrative and operational body (currently within PUNO UNECE) with distinct and independent reporting lines that provides administrative, operational, logistical, and substantive support to the Fund and its governing bodies under the guidance and supervision of the Advisory Board and the Steering Committee.

Steering Committee. A Fund governing body, chaired by the head of a PUNO and comprised of members from UN agency and private sector parties pursuant to the Fund TOR and Rules of Procedure, that is responsible for implementing the Fund's strategic direction as recommended by the Advisory Board, taking decisions on, *inter alia*, funding cycles, strategic focus and funding awards, and monitoring and evaluating Fund performance and risk.

Transfer Request Form for Approved Programmes (FTR). The required document to initial a transfer of funds to a PUNO, which must be completed by the Secretariat in line with the *Decision on Funding*, signed by the chair of the Steering Committee and the PUNO to receive funds, and which includes information regarding the total approved funding and allocations per Outcome/Pillar categories as set forth in the Approved Project Documents.

Annex 1

Project Proposal Template Guidelines

A coversheet (3-4 pages) with background information for applicants, should include:

Proposal deadline: XX:XX PM (EST), [Date]

OVERVIEW
Introduction *(This will describe the purpose of the call for proposals and any specificities of priorities this funding cycle)*
Background *(This will describe background information on the Global Framework Action Plan for Road Safety and the vision of the Trust Fund)*
Anticipated outcomes *(This will describe the intended outcomes of the Trust Fund and/or specifically for the funding cycle (i.e. priorities)*

RULES & GUIDELINES
Eligibility *(This will describe the type of organizations which are eligible with indication of type of costs which will or will not be covered by the Trust Fund (i.e. infrastructure projects))*
Funding priorities and criteria *(This will include the descriptions agreed by the governing bodies on the funding priorities and criteria document)*

TIMELINE
(This will describe the timeline including: announcement date of call for proposals, submission deadline, review period, announcement of approved projects, time for adjustments to project proposals, official project start date, as well as reporting and evaluation requirements and timeline)

INSTRUCTIONS
• Process and system for submitting proposals or email address • Contact info for questions

REFERENCED DOCUMENTS
• UNRSTF Global Framework Action Plan for Road Safety

ABOUT THE UNITED NATIONS ROAD SAFETY TRUST FUND
• Boilerplate of the Trust Fund

Project Proposal Template

Project Proposal Cover Sheet	
Project Title:	
Participating Organisation:	
Project Manager(s): (name and title)	
Project Expected Start Date:	
Project Duration:	
Proposed Budget:	
Beneficiary Country(ies):	
Cooperating Entities:	
Complementary Funding:	

Brief Description
This section should provide a summary of the project scope and approach, including a) relevant information on the project location context, b) proposed activities, c) expected outcomes and impact, d) link(s) to the priorities for project funding set forth in the Call for Proposals (pursuant to the Priorities and Criteria for Funding Projects and the UNRSTF Global Framework Plan of Action for Road Safety) (Global Framework Plan)), and e) leveraging of partnerships. (Max. number of words: 1,000)

Agreed by:

Participating UN Organization	*UNRSTF*
	By Decision of the Steering Committee dated: [Date]
Print Name:	Print Name:
Signature:	Signature:
Date:	Date:

Project Proposal Checklist

Please ensure your Project Proposal includes all elements in the below checklist.

		YES	NO
	Proposal Cover Sheet	☐	☐
Item I:	Problem Analysis	☐	☐
Item II:	Link to Sustainable Development Goals	☐	☐
Item III:	Project Demand and Target Country(ies)	☐	☐
Item IV:	Strategy and Logical Framework	☐	☐
Item V:	Stakeholder Engagement	☐	☐
Item VI:	Sustainability and Scaling up	☐	☐
Item VII.	Risk Assessment	☐	☐
Item VIII:	Monitoring and Evaluation	☐	☐
Item IX:	Project Management and Partnerships	☐	☐
Item X:	a. Indicative Budget and b. Project Budget	☐	☐
Item XI:	Statement of Compliance	☐	☐

Please ensure that all information provided in the full proposal is accurate. Incomplete, inconsistent or missing information may result in delay in processing, or disqualification.

*The following section provides a template for project document including guidance on how to complete each section. Please ensure that all of the noted considerations are addressed. **The maximum document length is 15 pages (11 font, times new roman, including budget and annex)***

I. PROBLEM ANALYSIS

Please address the following questions:
- What is the main problem in the target country(ies) that the project seeks to address?
- What are the underlying issues contributing to this problem? What are the hierarchical relationships and inter-dependencies between them?
- Please highlight groups of vulnerable populations (e.g., women, the elderly, youth, persons with disabilities) who might be disproportionately affected or "left behind" in terms of the issue.

While implementation of the project may be at the country, sub-regional, regional, interregional or global level, the problem analysis should refer to the underlying issues faced at the country level that need to be addressed to strengthen the national road safety system. As it is may not be possible to address all the underlying issues identified, please be specific about which underlying issues the project is targeting. In this regard, please consider the duration and resources available.

II. LINK TO SUSTAINABLE DEVELOPMENT GOALS (SDGS)

Please identify a maximum of three primary SDGs (both goals and targets) that the project supports. (No explanation required.)

III. PROJECT DEMAND AND TARGET COUNTRY(IES)

Please provide justification of the target country(ies)/locations and demand by demonstrating need through:
- Statistical and other indicators of the target country(ies) high road fatality rates;
- A description of the principle challenges and underlying issues of the missing or weak elements of the national road safety strategy of each target country(ies), in accordance with the Global Framework Plan;
- Explanation of reasons the target country(ies) are not able to address the principle challenge and underlying issue(s) within their own capacity, and
- Link the project with existing national strategies related to road safety[13];
- Evidence of a demonstrated commitment on the part of each target country to improving road safety and road safety action taken by them thus far; and
- Realistic outcomes (i.e., a clear statement of what the project will be able to achieve in country and tangible outcomes including a description of the existing situation and the tangible change expected after the project.)

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[13] For project focused on delivery of educational or technological solutions, evidence should be provided that these solutions will effectively address a specific road safety challenge faced in countries that the project is targeting

Where Item I. above presents key issues, this Item III. analyses the issues country by country. This section should provide a clear picture of the status of the national road safety system in each target country and realistic outcomes expected from the project.

IV.   STRATEGY AND LOGICAL FRAMEWORK

Strategy Narrative

Please provide a description of the strategy/approach that will be used to implement the project and how the project will demonstrate its contribution to improvements of national road safety system(s) in accordance with the with the Global Framework Plan. In the narrative please address:

- Detail the project's selected approach and explain how it is expected to lead to change at the outcome level. Clearly link the project's strategy to the Global Framework Plan by stating how the project will contribute to the Fund's Impact Indicator 1: "Death rate due to road traffic injuries" and Outcome/Pillars.

- What are the objectives of the project in accordance with the Trust Fund's Global Framework and priorities of the call for proposals?

- Link the principle challenge and the underlying issues with the objectives.

- Identify the approach that has been selected, with a clear rationale backed by credible evidence (indicate sources).

- Identify what knowledge, good practices and lessons learned (including from evaluation) have informed the analysis of available choices and the selected strategy.

- The approach should focus on implementation of proven actions, in accordance with the with the Global Framework Plan.

- Incorporate gender considerations into the approach.

- State key assumptions.

Logical Framework

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Intervention logic	Indicators	Means of
Objective: *The objective states the intended goal of the project, describes the overall achievement targeted by the project to meet the needs of the identified beneficiaries. Each project should have only one objective unless implemented in more than one location.* *Examples: To strengthen the capacity of selected target countries to improve the planning, management and regulation of vehicles in order to ensure vehicles in circulation meet minimum safety standards; To strengthen national capacity to conduct effective post-crash investigation in order to improve national road crash data.*		
EA1 ***Outcomes/Expected Accomplishments (EAs)*** *EAs describe the changes that are expected to occur as a result of project activities. EAs should be achievable within the project's timeframe/budget and should be specific enough to be measured by associated indicators.* *Examples: Improved capacity of policymakers in target countries to identify regulatory and institutional gaps in their national road safety systems; Improved capacity of first aid and rescue service personnel in beneficiary countries for post-crash care and response; Increased national capacity in beneficiary countries to conduct vehicle inspections.*	**IA 1.1** ***Outcome Indicators/Indicators of Achievement (IAs)*** *provide measures for monitoring progress towards achieving the stated EAs and reporting on them after completion of the project. Each indicator should provide clearly defined units of measurements and targets, detailing the quantity, quality and timing of expected results.* *It should describe outputs and deliverables of project, for example, specific knowledge products, besides evaluations, that will be produced by the project.* *Examples: strategy/action plan documents, proposed legislation, publications, databases, media products).* *Examples: X number of National Action Plans developed to address the regulatory and institutional gaps in national road safety systems; Proportion of first aid and rescue service personnel which demonstrated increased capacity in post-crash care.*	*Please answer the following questions:* • *What sources of information will be used to inform the indicator?* • *How will data be collected?* • *Justification/interpretation of the data.* *Examples: Report made by government on the development of the national action plan; Data/report from Ministry of Health on the number staffing which received capacity building on first aid and rescue service personnel in beneficiary countries for post-crash care and response*
	IA 1.2 …	...
	IA 1.3 …	...
Main activity A1.1 *Describe the activities necessary to achieve the expected accomplishments (outcomes) and outputs. Explain how the planned activities are expected to deliver them and define specific timeframes for these activities, and output indicators against which progress will be assessed. Well formulated activities should answer the question, "What are the specific actions that need to be taken by the project team, in cooperation with beneficiaries, to achieve the accomplishments?"* *Examples: Organize a national expert group which will identify shortcomings and/or gaps in the existing national road safety system; Hold validation workshop to agree with national stakeholders the shortcomings, gaps in the national road safety system, as identified by the road safety performance review.*		
A1.2 …		
EA 2	**IA 2.1** …	...
	IA 2.2 …	...
A 2.1 …		
A 2.2 …		

V.   STAKEHOLDER ENGAGEMENT

- Please describe how the project will engage relevant national institutions and specify the transition arrangement to sustain and/or scale-up results, as relevant or alternatively provide evidence that such an engagement is not needed to achieve the necessary accomplishments or outputs.
- Please describe how national capacities will be strengthened and monitored as relevant, and how national ownership will be ensured. In this context, identify key stakeholders and outline a strategy to ensure stakeholders are engaged throughout, including:
  - Target Groups: Identify the targeted groups that are the intended beneficiaries of the project. What strategy will the project take to identify and engage targeted groups?
  - Other Potentially Affected Groups: Identify potentially affected stakeholders and a strategy for engagement, ensuring access to and awareness of engagement mechanisms.
  - Complementary funding or project support (not directly financed by the project): Describe how the project will leverage other resources to amplify impact, whether through complementary funding, in-kind contributions, or other means. All complementary funding for the project activities must be disclosed.

Stakeholder Analysis

Non UN Stakeholders	Type and level of involvement in the project	Capacity assets *(link to Global Framework Plan of Action for Road Safety*	Capacity Gaps *(link to Global Framework Plan of Action for Road Safety*	Desired future outcomes *(link to Global Framework Plan of Action for Road Safety*	Incentives
All direct and indirect non-UN stakeholders should be listed here each on a separate row E.g. policymakers; individual ministries; IGOs, NGOs, private sector, academia etc.	*How does each of the stakeholders relate to the project/problem outlined in the previous section?*	*What are the stakeholder's resources and strengths that can help address the problem that the project strives to solve?*	*What are the stakeholder's needs and vulnerabilities that the project attempts to bridge?*	*What are the desired outcomes for the stakeholder as a result of project implementation?*	*What is the stakeholders incentive to be involved in the project? How can buy-in be ensured?*

VI. SUSTAINABILITY AND SCALING UP

Ownership is closely linked to sustainability; therefore, ownership should represent a driver in the design of the project rather than an ex-post consideration.

- Please describe how the project will improve relevant national systems and specify the transition arrangement to sustain and/or scale-up results, as relevant.
- Please describe how national capacities will be strengthened and monitored as relevant, and how national ownership will be ensured.
- More specifically, this section should describe how the project will contribute to the reduction of traffic fatalities and injuries of the target country in the short, medium and long term following project conclusion;
- Please describe how the project intends to sustain any achievements beyond the completion of the project.

VII. RISK ASSESSMENT

Risks and Assumptions

- Please specify the key risks that can threaten the achievement of results through the chosen strategy and its assumptions. Describe how project risks will be mitigated, especially how potential adverse operational, social and environmental impacts will be avoided where possible and otherwise managed. Complete the Risk Assessment Matrix (scoring risks pursuant to the below Risk Scoring Table) to create your project's **Risk Profile**.

Risk Assessment Matrix

Key Risk	Likelihood (2-5, see table)	Impact (1-5 see table)	Score (L x I)	Control/Mitigation Measure[14]	Mitigation Timeline

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[14] Where Risk Factors are scored "High" or "Very High" (score 9 to 25), mitigation measures must be addressed through actions that are planned and costed in the project budget, with immediate actions for risks scored at "Very High" (score 20 to 25).

Risk Scoring Table

		Impact				
		Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Extreme (5)
Likelihood	Very Likely (5)	Medium (5)	High (10)	High (15)	Very High (20)	Very High (25)
	Likely (4)	Medium (4)	Medium (8)	High (12)	High (16)	Very High (20)
	Possible (3)	Low (3)	Medium (6)	High (9)	High (12)	High (15)
	Unlikely (2)	Low (2)	Low (4)	Medium (6)	Medium (8)	High (10)

VIII. MONITORING AND EVALUATION

In this section please outline the project's monitoring and evaluation plans. This should not repeat the indicators listed in earlier sections of the document and should provide information regarding when monitoring will occur. Use the funding priorities and criteria as considerations for monitoring and evaluation. Costs for stated evaluation should be reflected adequately in the budget.

IX. PROJECT MANAGEMENT AND PARTNERSHIPS

Please provide:

- *A detailed list of UN partner entities and implementing partners*

- *Explanation of roles and responsibilities of the parties involved in governing and managing the project, for example number of full-time and part-time staff.*

- *South-South and Triangular Cooperation (SSC/TrC)- Describe how the project intends to use SSC/TrC to achieve and sustain results, if applicable. [SSC can be described generally as regional and interregional partnership actions between two or more developing countries through the exchange of knowledge, skills, capacity and resources. TrC describes such partnership actions that are supported by a developed country or multilateral organization. See Nairobi outcome document of the High-level United Nations Conference on South-South Cooperation (A/RES/64/222) for more information.]*

X. BUDGET

*Each project requires both an Indicative Budget (**Item X.a**) as well as a Project Budget in your organisation's approved format (attach as **Item X.b**), which meets the following criteria:*

i. a results-based framework (i.e. indicative budget);

ii. A maximum of seven (7%) per cent programme support, or indirect, costs;

iii. A reasonable amount for operating reserve (at least as required by the PUNO's applicable internal guidelines);

iv. An amount to support compliance with the project's Monitoring & Evaluation Program requirements;

v. An amount for independent evaluation pursuant to the threshold specified in the Call for Proposals;

vi. Budgeted activities as determined pursuant to the Risk Assessment Matrix and the Risk Profile;

vii. Budgeted amounts that reflect standard UN parameters, rates and costs (e.g., UN Standard Salary costs, Daily Subsistence Allowance rates, procurement principle of best value for money); and

viii. Expressed utilising UN approved budget line item categories based upon the eight UN harmonised expense categories (established in 2008 by the UNDG and updated in 2012 by the Chief Executive Board) allowable pursuant to the Call for Proposals:

Staff and other personnel costs: Includes all related staff and temporary staff costs including base salary, post adjustment and all staff entitlements.

Supplies, commodities, materials: Includes all direct and indirect costs (e.g. freight, transport, delivery, distribution) associated with procurement of supplies, commodities and materials. Office supplies should be reported as "General Operating".

Equipment, vehicles and furniture including depreciation: For those reporting assets on UNSAS or modified UNSAS basis (i.e. expense up front) this would relate to all costs to put asset into service. For those who do donor reports according to IPSAS this would equal depreciation for period.

Contractual services: Services contracted by an organization which follow the normal procurement processes. In IPSAS terminology this would be similar to exchange transactions. This could include contracts given to NGOs if they are more similar to procurement of services than a grant transfer.

Travel: Includes staff and non-staff travel paid for by the organization directly related to a project.

Transfers and grants to counterparts: Includes transfers to national counterparts and any other transfers given to an implementing partner (e.g. NGO) which is not similar to a commercial service contract as per above. In IPSAS terms this would be more similar to non-exchange transactions.

General operating and other direct costs: Includes all general operating costs for running an office. Examples include telecommunication, rents, finance charges and other costs, which cannot be mapped to other expense categories.

Indirect (programme support) costs: to a maximum of seven (7%) per cent.

X.a INDICATIVE BUDGET[15]

All anticipated programmatic and operational costs to support the project are to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities

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[15] Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs may require a Project Amendment pursuant to the UNRSTF Operating Manual.

that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc.

EXPECTED ACCOMPLISHMENTS	PLANNED ACTIVITIES	Budget				RESPONSIBLE PARTY
		Y1	Y2	Y3	Y4	
EA1	1.1 Activity	N/A	N/A	N/A	N/A	
	1.2 Activity	N/A	N/A	N/A	N/A	
	1.3 Activity	N/A	N/A	N/A	N/A	
	MONITORING	N/A	N/A	N/A	N/A	
	Sub-Total for EA 1					
EA2 2	2.1 Activity	N/A	N/A	N/A	N/A	
	2.2 Activity	N/A	N/A	N/A	N/A	
	2.3 Activity	N/A	N/A	N/A	N/A	
	MONITORING	N/A	N/A	N/A	N/A	
	Sub-Total for EA 2					
Evaluation *(as relevant)*	EVALUATION	N/A	N/A	N/A	N/A	
General Management Support		N/A	N/A	N/A	N/A	
TOTAL						

X.b PROJECT BUDGET

Project Budget in your organisation's approved format, which meets the criteria in Item X, above.

XI.   STATEMENT OF COMPLIANCE

The undersigned certifies, following diligent inquiry, as follows:

1. Project Personnel[16] have not engaged in any activity which would violate Sections III (Special Provisions Regarding Financing of Terrorism) or VII (Fraud, Corruption and Unethical Behavior) of the Fund MOU, nor do there exist any circumstances which could reasonably be perceived to present a potential or actual conflict of interest[17] on the part of the Applicant or its Implementing Partner(s), or any contractors, vendors or suppliers.

2. The Project (including related projects within a larger project or programme) shall not directly or indirectly (e.g., through Implementing Partners or third parties) engage or

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[16] "Project Personnel" shall mean any person or entity employed or engaged in any capacity with respect to the Project, including without limitation, employees, interns, volunteers, contractors, or vendors, whether engaged directly or through third parties including Implementing Partners.

[17] "Conflict of interest" shall refer to circumstances where, by act or omission, a party's private interests or those of his or her family members, such as outside professional relationships or personal financial assets, interfere or appear to interfere with the proper performance of his or her professional functions or obligations to the contracting organization.

provide financial or personal benefit to, whether individually or by corporate ownership, participation or benefit, members of the Fund's governing bodies.

3. The Project (including related projects within a larger project or programme) is not currently engaged, nor shall it engage, in any relationship or arrangement, financial or otherwise, which may constitute a conflict of interest or a violation of Sections III or VII of the Fund MOU.

4. In managing and implementing Project activities, Project Personnel shall not seek or receive instructions from any Government or from any other authority external to the Applicant except as otherwise provided in the Project Documents and Governing Agreements.

5. It has disclosed all pertinent facts surrounding Project Personnel, and any relationship or arrangement, financial or otherwise, which may constitute a conflict of interest or a violation of the Fund MOU Sections III and VII [Attachment 1].

6. It has disclosed all complementary funding received, pledged or sought with respect to Project activities in item V. of the Project Proposal.

[Signature Block of Executive Officer or designate]

Attachment 1: Disclosure of Pertinent Facts

Annex 2

UN Road Safety Trust Fund
TRANSFER REQUEST FORM FOR APPROVED PROGRAMMES

Date of submission to the Admin Agent:

Form prepared by contact person:

Date of allocation decision/meeting:

Total allocation approved:

UN Road Safety Trust Fund: Allocation Decision endorsed by the UNRSTF Steering Committee				
Outcome	**Project Number/Title**	**Particip. UN Organization**	**Approved Allocated Amounts (USD)**	**Total amount to be transferred (USD)**
Total per Outcome1				
Total per Outcome 2			0	0
Total per Outcome 3			0	0
Total per Outcome 4			0	0
Total per Outcome 5			0	0
			TOTAL ALLOCATIONS:	-
			Chair of UNRSTF SC's initials: _____	

Mandatory Enclosures / Supporting Documentation:

☐ **Check Box 1**   Approved projects signed by Participating Entity

☐ **Check Box 2**   Minutes of Approval Meeting, dated and signed (if applicable)

☐ **Check Box 3**   Programme Appraisal Form

☐ **Check Box 4**   List of Heads and focal points of Participating Organizations with email addresses for transfer notification purposes

☐ **Check Box 5**   Other: (Specify)

Confirmation of allocation decision:

We hereby request the Administrative Agent of the UN Road Safety Trust Fund to make the above transfers to Participating Organizations within 3-5 working days of the receipt of this Transfer Request Submission Form.

Chair of UNRSTF Steering Committee:

Signature:

Name:

Place/Date:

Annex 3

Sample Fund Risk Assessment Matrix

Risk Type[18]	Risk Factor	Probability (2-5 see table)	Impact (1-5 see table)	Score (see Table)	Risk Indicators	Control/Mitigation Measure[19]	Risk Owner (Name/Title)

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[18] Risk Type can include, but is not limited to, the following categories: Strategic, Environmental, Financial, Operational, Organizational, Political and Regulatory.

[19] Where Risk Factors are scored "High" or "Very High" (score 9 to 25), mitigation measures must be addressed through actions that are planned and costed in the project budget.

Annex 3 (con't)

Sample Risk Assessment Matrix

Table 1: Assessment and Scoring Guide

		Impact				
		Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Extreme (5)
Likelihood	Very Likely (5)	Medium (5)	High (10)	High (15)	Very High (20)	Very High (25)
	Likely (4)	Medium (4)	Medium (8)	High (12)	High (16)	Very High (20)
	Possible (3)	Low (3)	Medium (6)	High (9)	High (12)	High (15)
	Unlikely (2)	Low (2)	Low (4)	Medium (6)	Medium (8)	High (10)

Annex 4

Sample Risk Register

Risk ID	Date Identified	Risk Factor	Probability (2-5 see table)	Impact (1-5 see table)	Score (see Table)	Control/Mitigation Measure	Risk Owner (Name/Title)	Progress	Status