

ANNEX A



Indonesia – UNPDF Trust Fund

Terms of Reference

I. Introduction

1. The UN Partnership for Development Framework (UNPDF) 2011-2015 was launched by the UN Country Team and Government of Indonesia in August 2010. The UNPDF is the guiding framework under which UN programmes and joint programmes are developed, and from which agency-specific Action Plans are devised, for the period 2011-2015.
2. Although Indonesia is not a Delivery as One pilot country, 'delivering for results' and 'value for money' are key tenets of the UN Country Team (UNCT), which is committed to the principles of working together to improve effectiveness and efficiency as enshrined in the Jakarta Commitment of 2009.
3. As the guiding framework for the UN system and Government of Indonesia for the five-year period, the UNPDF prioritizes five thematic areas – Social Services, Sustainable Livelihoods, Governance, Disaster Management and Climate Change. In addition, three cross-cutting issues – Gender, HIV/AIDS, and Human Rights - are mainstreamed in the UNPDF.
4. Within the context of Indonesia's Middle Income Country status, UN engagement in Indonesia is also undergoing a strategic re-alignment, with increasing emphasis on upstream and policy advice work. With fewer international resources available for traditional development activities in Indonesia, and with emerging thematic priorities, the UN needs to maintain focus in priority themes and areas for human development, and ensure efficiency. Sound and well-supported programmes in priority regions that allow application of lessons and knowledge at higher and wider levels will be essential for demonstrating the added value of the UN in a rapidly evolving Indonesia and delivering for results for the people of Indonesia.
5. The Indonesia UNPDF Trust Fund ("the trust fund") will be a mechanism to help fund implementation of the joint UN-Government of Indonesia UNPDF 2011-2015. The five thematic outcomes of the UNPDF provide the foundation for priority setting for the trust fund. The trust fund will support integrated UN joint programmes with the aims of achieving the goals of Human Development agreed upon in the UNPDF.
6. All programmes funded by the trust fund would be in support of, and strictly aligned with the outcomes and outputs of the UNPDF 2011-2015 results matrix, as well as the National Medium Term Development Plan (RPJMN) 2011-2014, thus ensuring full national ownership. They will complement government-funded development activities and bring strategic value in developing capacity and promoting sustainability.
7. The Trust Fund will be supported by the United Nations (with the Multi-Partner Trust Fund Office as Administrative Agent), and will have a finite lifespan up to end December 2015. These Terms of Reference establish the role and functions of the trust fund.

II. Purpose, Scope and Principles of the Indonesia – UNPDF Trust Fund

8. The purpose of the Indonesia UNPDF Trust Fund is to channel additional donors' funding to support the specific outcomes of the UNPDF, with special consideration to strategic opportunities for enhancing developmental impact. This will enhance the flexibility and responsiveness of the UN system through the UNPDF to adapt to national priorities. The Fund will support allocation and disbursement of donor resources and coherent resource mobilization. The Trust Fund will contribute to realizing the UNPDF outcomes by strengthening the planning and coordination process, and channelling consistent and predictable funds towards the highest programme priorities.
9. The guiding principles of the Trust Fund shall be twofold (i) Delivering for results under a programmatic approach and (ii) national ownership and alignment with Jakarta Commitments. The Trust Fund will help fund programmes and related activities in support of the UNPDF. The proposals to be funded should meet the following criteria:
 - a) Proposals should be consistent with the UNPDF and the Government's RPJMN as well as the respective local government's Development plans and strategies.
 - b) Proposals should specify the UNPDF outcomes and outputs they aim to meet
 - c) Proposals should aim to fill priority gaps in the UNPDF implementation and/or should respond to emerging strategic opportunities to accelerate Development in Indonesia in line with UNPDF outcomes
 - d) Proposals should be results-oriented with a focus on efficiency and sustainability, and be completed within the life of the trust fund
 - e) Proposals should promote joint programming, and include two to four participating UN agencies, in order to ensure the programme benefits from the widest and best available expertise of the UN.
10. The UNPDF thematic outcomes and outputs are provided in Annex 1.

III. Description of the MPTF

11. The UN Country Team members appointed the Multi-Partner Trust Fund Office (MPTF Office), to serve as the Administrative Agent (AA) for the Trust Fund in accordance with the terms and conditions set out in the MOU. The AA accepts this appointment on the understanding that the Participating UN Organizations assume programmatic and financial accountability for the funds disbursed to them by the AA. This appointment will continue until it expires, or is terminated in accordance with the relevant MOU.

A) Contributions to the MPTF

12. The allocation of funds from donors may be *unearmarked* or *earmarked* as follows:

- a. Donors shall be encouraged to make un-earmarked contributions to the UNPDF Trust Fund as well as make contributions covering a multi-year period. Un-earmarked contributions will be utilized to support the UNPDF outcomes and outputs. Decisions on the allocation of funds in support of specific activities will be made by the Steering Committee.
- b. Donors that prefer to make earmarked contributions may earmark their contributions to the specific outcomes in line with the results matrix of the UNPDF (Annex 1). Earmarking to particular UN agencies through the trust fund is not permitted.

13. Contributions to the Fund may be accepted in fully convertible currency or in any other currency that can be readily utilized. Such contributions will be deposited into bank accounts designated by the MPTF Office. Each individual contribution should amount to the equivalent of at least USD 50,000 although smaller amounts will be considered exceptionally on a case-by-case basis. The value of a contribution-payment, if made in other than U.S. dollars, will be determined by applying the UN operational rate of exchange in effect on the date of payment.

14. Contributions to the Fund may be accepted from governments of Member States of the United Nations or from intergovernmental or non-governmental organisations, or from private sources, which will be properly vetted before acceptance of funds.

15. Each Donor would sign a SAA (formerly Letter of Agreement) with the MPTF Office as AA for the trust fund, setting out the terms and conditions governing the receipt and administration of the contributions.

16. The AA of the Fund will be responsible for receiving all donor contributions in the Fund Account established for this purpose, and in turn, will disburse such funds to each respective Participating UN Organisation in accordance with instructions from the Steering Committee taking into account the budget set out in the approved programmatic document. Disbursements will be made within three (3) to five (5)

business days after receipt of the relevant approved programmatic documents. The Steering Committee will inform the UNCT including the Participating UN Organizations when new funds are made available to MPTF.

B) Eligibility for MPTF funding

17. Signatory organisations to the UNPDF may become participating UN organisations to the trust fund (Annex 2 provides a list of signatories to the UNPDF).
18. Participating UN Organisations would sign a standardized Memorandum of Understanding (MOU) with the AA, setting out the terms and conditions under which the MPTF Office would work as Administrative Agent and the Participating UN Organisations are eligible to receive funds from the Fund Account based on Steering Committee approval. Any non-UN entity of international character, that is a signatory to the UNPDF and that has financial rules and regulations comparable to the UN (i.e. IOM) may also become a Participating Organization by concluding a separate MOU with the Administrative Agent. NGO partners will have access to the MPTF through the Participating UN Organizations only, in which case the latter will utilise their standard NGO cooperation modalities for this purpose.
19. The Fund will be utilized for the purpose of meeting the costs of activities managed by Participating UN Organisations and carried out with Implementing Partners in accordance with these terms of reference, donor agreements (SAA), and relevant programme documents. Programme details, including budgets and Implementing Partners, will be set out by the relevant Participating UN Organisations. Programmes should also allow for easy adjustment in response to changing circumstances, especially as regards implementation modalities.
20. In accordance with these TORs, and Rules of Procedure issued by the Steering Committee (Annex 4), specific Participating UN Organisations will submit proposals to the Steering Committee for approval. These proposals will begin with a request from the Steering Committee based on recommendations from the Technical Committee, for suggested Participating UN Organisations to develop concrete programmes in consultation with relevant national and/or local government bodies to meet specific needs, including requiring Participating UN Organisations to provide joint work plans to ensure coherent and efficient delivery of desired outcomes. The Technical Committee will perform a quality assurance role and review proposals and recommend action to the Steering Committee. The Steering Committee will, upon review of recommendations by the Technical Committee endorse proposals to be supported.
21. Each Participating UN Organisation will establish a separate ledger account under its financial regulations and rules for the receipt and administration of the funds disbursed to it from the Fund Account. Each Participating UN Organisation will assume programmatic and financial accountability for the funds disbursed to them by the Administrative Agent. Programme-level management, procurement and

expenditures will be governed by the regulations, rules and directives of the respective Participating UN Organisations.

22. In exceptional cases, in particular during the start-up phase of the Fund, Participating UN Organisations may, subject to conformity with their respective financial regulations and rules, start implementation of priority Programmes through pre-financing from their own resources. Such pre-financing will require prior and written approval by the Steering Committee based on: (a) the receipt of official donor commitments by the Administrative Agent covering the amount of pre-financing; and (b) agreement by the Steering Committee that these donor commitments will be used to finance the priority Programmes concerned.

C) Utilization of the MPTF

23. In line with UNDG guidelines, the Administrative Agent is entitled to allocate an administrative fee of one percent (1 %). The fee will be deducted from the contributions to the Fund at the time they are deposited.
24. The Steering Committee may request any of the Participating UN Organizations, to perform additional tasks in support of the MPTF not related to the AA functions and subject to the availability of funds. Costs for such tasks will be agreed in advance and with the approval of the Steering Committee be charged to the MPTF as direct costs or more direct reference to financing of technical secretariat/support office.
25. The support costs of the Participating UN Organisations will be capped at 7 percent, in line with UNDG guidelines for joint programmes and MPTFs.

IV. Governance Arrangements

26. The Trust Fund will have one governance structure led jointly by the United Nations and Government. Membership of the governance structure and its component bodies extends also to donors, academia, and the AA.
27. The Steering Committee, the Technical Committee, the Secretariat and the Administrative Agent are the principal bodies of the trust fund. Existing mechanisms and bodies to support the UNPDF, such as working groups, task forces, technical advisory committee, etc. will be drawn upon by the four bodies during the governance and technical review processes of the trust fund. The UN Country Team, the principal decision making body of the UNPDF, will be represented in the Steering Committee on an annual rotation of three members nominated by the UNCT, in addition to the RC as co-chair of the Steering Committee.
28. The Trust Fund's Steering Committee functions as the highest level decision-making, policy dialogue and coordination entity with streamlined membership and procedures for timely decision-making on Development needs. The Steering Committee is responsible for final decision making on fund allocation, and

functioning of the trust fund. The Steering Committee terms of reference, in accordance with which the Steering Committee will function, are provided in Annex 3.

29. The Steering Committee shall be co-chaired by the Deputy Minister of Development Funding Affairs, BAPPENAS, and the UN Resident Coordinator in Indonesia, with membership comprising three Participating UN Organizations' members on an annual rotating basis, echelon-I officials from key line ministries as may be appointed by BAPPENAS, and local government and development partners as appropriate. The UN Resident Coordinator, together with three annually rotating members of the UN Country Team (who shall also be signatories to the UNPDF) shall represent the UN Country Team and the United Nations as a whole. Donor membership shall be determined jointly by the United Nations and Government, in consultation with prospective donors and taking into account level of contribution. Local Government officials and other stakeholders from areas of intervention shall participate in Steering Committee meetings as appropriate and as agreed upon by the co-Chairs of the Steering Committee.
30. The Technical Committee provides substantive and technical support to the Steering Committee in the decision making process by providing analytical and advisory services at the request of the Steering Committee. The Technical Committee shall support the trust fund through:
 - a. Identifying current priorities and strategic opportunities for fund channeling, and presenting prioritised options to the Steering Committee for consideration
 - b. Engaging in an iterative process with Participating UN Organizations to review PCNs and prodocs to ensure programmes are aligned with the UNPDF and RPJMN as well as local government Development plans and related aid management policies and regulations.
 - c. Ensuring the technical quality of programmes and compliance with established criteria.
31. The Technical Committee shall consist of a core membership of technical experts from the United Nations and Government, with flexible design to accept additional members for particular tasks. The core UN members will be rotated on an annual basis, and selected by the Participating UN Organizations' members of the Steering Committee in consultation with the wider UNCT. As additional members, appropriate stakeholders including from UN, Government (both national and local), donors (both contributing and non-contributing) and academia may be invited to participate in the Technical Committee for particular tasks, as agreed upon by the Steering Committee.
32. The Secretariat of the Trust Fund will consist of technical staff from Government and the UN, and will provide secretarial services for the adequate functioning of the trust

fund. The Secretariat will be based in the office of the Resident Coordinator. The Secretariat will be responsible for:

- a. Logistical arrangements required to facilitate the Steering Committee's meetings, including the preparation of the agenda and minutes, sharing information on behalf of the Co-Chairs, distribution of documents, etc;
 - b. Receiving and registering PCNs and prodocs, and ensuring they are shared with the Technical Committee and Steering Committee as appropriate and on time. Documenting, communicating and ensuring follow-up of the Steering Committee's decisions;
 - c. Assisting the Steering Committee co-Chairs in following up on group actions and decisions, and in communicating important milestones to all relevant stakeholders;
 - d. Tracking the Steering Committee approvals, allocations and implementation progress and identifying challenges to be reported to the Steering Committee on a quarterly basis;
 - e. Supporting the Technical Committee to review submitted requests for time extension, budget revision and change of scope of implemented programmes.
 - f. Coordinating with relevant groups within the UN-internal UNPDF governance structure (e.g. working groups, task forces, technical advisory committee etc.) to ensure programmatic synergies across UNPDF priorities and between programmes funded under the Trust Fund and the UNPDF priorities;
 - g. Supporting the Steering Committee to periodically review the ToRs of the Steering Committee and the Rules of Procedure and recommending changes or revisions to the Steering Committee for its review and approval;
 - h. Coordinating with the MPTF Office as AA of the Fund to maintain updated records and documentation on the MPTF Office GATEWAY including Fund strategic documents, approved programme documents, annual and periodic reports, evaluations and other information relevant to the Fund.
 - i. Carry out on behalf of the Steering Committee quality assurance functions for the programmes implemented under the trust fund, and ensure assessment of impact at the UNDPF Outcome level.
33. The Administrative Agent provides fiduciary and administrative services to the trust fund at the instruction of the Steering Committee, and on behalf of the Participating UN Organizations. The Administrative Agent is responsible for providing the following services:
- a) Receive contributions from donors that wish to provide financial support to the trust fund;
 - b) Administer such funds received, in accordance with these TOR including the provisions relating to winding up the trust fund Account and related matters;

- c) Subject to availability of funds, disburse such funds to each of the Participating UN Organizations in accordance with instructions from the Steering Committee taking into account the budget set out in the approved programmatic document, as amended in writing from time to time by the Steering Committee;
- d) Consolidate statements and reports, based on submissions provided to the AA by each Participating UN Organization, as set forth in this TOR and provide these to each donor that has contributed to the trust fund Account and to the Steering Committee;
- e) Provide final reporting, including notification that the trust fund has been fully expended or has been wound up in accordance with this TOR and with the Trust Fund MoU
- f) Disburse funds to any Participating UN Organization for any additional costs of the task that the Steering Committee may decide to allocate in accordance with this TOR.

V. PCN and Prodoc Submission and Approval Process

- 34. The PCN and Proposal submission and approval processes will be conducted in line with the Rules of Procedure issued by the Steering Committee (Annex 4), which may be reviewed and revised from time to time as deemed appropriate by the Steering Committee.

VI. Monitoring and Evaluation

- 35. Programme monitoring and evaluation is the responsibility of the UN. This will primarily be done by Participating UN Organizations as part of the UNPDF monitoring and evaluation mechanism, and will feed into the UNPDF annual report. This will be in accordance with the policies and procedures of the UN Participating Organizations and Implementing Agencies. Assessment on activity implementation in accordance with the approved Prodoc should be ensured and the identification of problems and endeavour to implement strategies to mitigate such problems.
- 36. Fund level supervision and monitoring may be undertaken at the following levels:
 - a. Steering Committee monitoring will be done by the Technical committee supported by the Secretariat and reported to the Steering Committee.
 - b. Administrative Agent shall submit electronic reports on annual progress, containing progress toward achieving results against approved performance indicators and financial status.
- 37. Independent evaluation of ongoing or operationally closed programmes shall be commissioned by the UN Participating Organization and/or Implementing Agency according to their applicable policies and procedures. Results of such evaluations may be shared with the Steering Committee and AA through the Secretariat.

38. Independent evaluations of the trust fund shall be undertaken once every two years, and is the responsibility of the Steering Committee

VII. Audit

39. The Participating UN Organizations will be audited in accordance with their own Financial Regulations and Rules. UN MPTFs are audited in accordance with the Framework for Auditing Multi-Donor Trust Funds which has been agreed to by the Internal Audit Services of Participating UN Organizations and endorsed by UNDG.

VIII. Reporting

40. For each Programme approved for funding from the Fund, each Participating UN Organisation will provide the Administrative Agent with the following statements and reports prepared in accordance with the accounting and reporting procedures applicable to the Participating UN Organisation concerned. The Participating UN Organizations will endeavour to harmonize their reporting formats to the extent possible.
- a) Annual narrative progress reports, to be provided no later than three months (31 March) after the end of the calendar year;
 - b) Annual financial statements and reports as of 31 December with respect to the funds disbursed from the Fund Account, to be provided no later than four months (30 April) after the end of the calendar year;
 - c) A final narrative report, after the completion of the activities in the approved programmatic document and including the final year of the activities in the approved Programme document, to be provided no later than four months (30 April) of the year following the financial closing of the Programme. The final report will give a summary of results and achievements compared to the goals and objectives of the Fund; and
 - d) A certified final financial statement and final financial report after the completion of the activities in the approved Programme document and including the final year of the activities in the approved Programme document, to be provided no later than six months (30 June) of the year following the financial closing of the Programme.
41. The Administrative Agent will prepare consolidated narrative progress and financial reports, based on the reports referred to in paragraph 1 above and will provide (a) and (b) by 31 May and (c) and (d) by 31 July to the Steering Committee, Participating UN Organizations and to each Donor that has contributed to the Fund, in accordance with the timetable established in the Standard Administrative Arrangement.

42. The Administrative Agent will also provide the Steering Committee, Participating UN Organizations and Donors with the following statements on its activities as Administrative Agent:

- a. Certified annual financial statement (“Source and Use of Funds”) to be provided no later than five months (31 May) after the end of the calendar year; and
- b. Certified final financial statement (“Source and Use of Funds”) to be provided no later than seven months (31 July) of the year following the financial closing of the Fund.
- c. Consolidated reports and related documents will be posted on the MPTF Office GATEWAY maintained by the Administrative Agent (<http://mdtf.undp.org>)

IX. Public Disclosure

43. The RC and the Administrative Agent will ensure that decisions regarding the approval of Programmes funded under the Fund, as well as periodic reports on the progress of implementation of such Programmes and associated external evaluation reports are posted for public information on the Indonesia-UNPDF Trust Fund webpage on the website of the Administrative Agent (<http://mptf.undp.org/>). Website postings may also include a record of decisions of the Steering Committee, as appropriate, summaries of approved Programmes, fund level financial and progress reports, and external evaluation reports, including relevant information on the operations of the Facility.

X. Termination of the MPTF

44. The Fund will be established following the signature of two MOUs and will become operational following the signing of the first donor agreement. It will terminate upon completion of all Programmes funded through the Fund and after satisfaction of all commitments and liabilities. Notwithstanding the completion of the Programmes financed from the Fund, any unutilized balances will continue to be held in the Fund Account until all commitments and liabilities incurred in implementation of the Programmes have been satisfied and Programme activities have been brought to an orderly conclusion. Any balance then remaining will be used for a purpose mutually agreed upon or returned to the donor(s) in proportion to their contribution to the Fund as decided upon by the donor(s) and the Steering Committee.

Annex 1
UNPDF Outcomes and Outputs

Pillar 1

Outcome: Vulnerable and disadvantaged people are better able to access quality social services and protection as per the millennium Declaration

Education:

- Improved government and community- based organizations capacities at national and sub national levels for implementing a holistic early childhood development, strengthened legislation and increased budget allocations for achieving school readiness for children below 7 years age.
- Children and young people especially from vulnerable groups are empowered and equipped with adequate knowledge, basic education and life skills to cope with challenges and opportunities.
- Policies and successful models of life skills education developed and mainstreamed at sub national level
- Improved sex education to reduced HIV by half among young people
- Improved education sector preparedness plans and strengthen government and CSO response capacities to disasters and emergencies are in place

Health:

- Improved access and delivery of quality basic services such as nutrition, water, sanitation and hygiene, preventions of mother-to-child transmission, health for vulnerable and marginalized people
- Strengthened national capacity in establishing policies for improving universal access to reproductive health
- Improved access to SRH services and sexuality education for young people (including adolescents)
- Increased access to and utilization of quality family planning services for individuals and couples according to reproductive intentions
- Increased capacity to implement the Minimum Initial Service Package (MISP) in humanitarian settings
- Sexual transmission of HIV reduced by half
- New HIV infections prevented among people who use drugs
- Access to antiretroviral therapy for people living with HIV who are eligible for treatment

Social Protection:

- Level of harmonization of social protection services is improved to reduce overlaps
- Vulnerable children are progressively protected by a comprehensive and community-based child protection system (e.g. social welfare, police, and justice) especially in 5 focus provinces.

- Decision makers at national and sub national levels have access to and utilize a comprehensive monitoring and data collection systems on child protection for policy, planning and budgeting purposes.
- The prevention of and responses to gender-based violence are expanded through improved policies and social protection systems that are aligned with the Convention on the Elimination of All Forms of Discrimination against Women.
- Strengthened national and subnational capacity to prevent, respond and monitor Gender- Based Violence including in disaster situation.
- Support services for migrant workers before, during and after overseas work are strengthened, and social protection services to prevent victims of trafficking and HIV are improved
- HIV Sensitive Social Protection integrated into the implementation of the National Social Security/SJSN Law
- Enhanced capacity of National and provincial governments and social partners in target provinces to develop and implement HIV and AIDS policies

Food Security:

- Improved food security and nutritional status for vulnerable and marginalized communities
- Enhanced capacity of food insecure districts to plan, target and implement social safety net programmes for the vulnerable based on evidence

Pillar 2

Outcome: Livelihood opportunities, food security and Nutrition Security improved for the vulnerable and marginalized within a coherent pro poor policy framework.

Employment:

- Increased capacity and improved regulatory framework for productive and sustainable livelihoods/ income generation in the tourism sector
- Increased capacity of regional governments and sectoral ministries to mainstream decent work in their strategic planning and effectively implement the National Plan of Action on worst forms of child labor
- Increased capacity of government and private sector to increase entrepreneurship among young men and women
- Strengthened labour market intermediation services and vocational training institutions to improve the school to work transition
- Improved rural infrastructure services and increased community capacity using local resource-based approaches and employment intensive methodologies

Food Security:

- Strengthened capacity of the Government to control zoonotic diseases leading to the sustainability of livestock production
- Enhanced capacity of national and sub national governments to monitor food security to provide early warning and plan and implement evidence based actions in a timely manner

- Broader national and sub-national policy framework incorporating food security and agricultural solution such as Local Resources-based Food Diversification through capacity building of local institutions and communities

Economic growth:

- Platform and knowledge tools established to support the formulation and implementation of coherent trade, industry and labour market policies for exports of goods and services
- Strategic agro based industrial development revitalized as potential sources of sustainable livelihood development

Pillar 3

Outcome: People participate more fully in democratic processes, resulting in pro-poor, gender responsive, more equitable and accountable policies and programmes that assure better access to justice and government services.

Participation:

- The role of women in democratic and policy making processes at the local and national levels is strengthened
- Engagement between the public, vulnerable, disadvantaged and marginalized groups and the bureaucracy and elected officials is enhanced

Accountability:

- Enhanced civil society oversight over public finances, development programmes, and government services
- Government anticorruption strategies and initiatives implemented
- Capacity of national and sub-national institutions to analyze and use data on population, development and other MDG related issues strengthened
- Strengthened capacity of national and subnational institutions to analyse and use data on population and development and on the Millennium Development Goals and ICPD-related issues for policy formulation.

Access to Justice:

- National and local governments have increased capacities to develop and implement legal and policy instruments for the protection of human rights and access to justice
- Legal empowerment of vulnerable, disadvantaged and marginalized people, to claim, defend and advocate for their rights
- Strengthened capacity of judicial and law enforcement institutions, national human rights institutions and agencies, and legal aid providers to protect and uphold the rights and interests of disadvantaged, vulnerable, and marginalized people
- Strengthened capacity of non-formal dispute resolution mechanisms and forums to be more accessible and to provide justice in line with human rights standards

Pillar 4

Outcome: Increased national resilience to disasters, crisis and external shocks

Prevention:

- Institutional framework for conflict management is developed through participatory methods

- children and women, especially the most vulnerable, benefit from improved access to and delivery of quality basic services such as nutrition, water, sanitation and hygiene, prevention of mother-to-child transmission, health, including in emergencies
- Enhanced capacity of communities to prevent and mitigate conflicts
- improved education sector preparedness plans and strengthened government and CSO response capacities to disasters and emergencies.
- Conflict sensitivity and non-violent means for conflict resolution mainstreamed into decision making, education and participatory planning processes
- Proportion of target provinces/districts implemented key central level policies

Management:

- Regulation and mechanism for implementation of DM law for pre-disaster, disaster, and post disaster
- Improved access to best practices to support the implementation and coordination of DM at national and sub national levels
- Improved government capacity in providing early warning of natural disaster
- Communities are empowered to undertake disaster management and disaster risk reduction. – UNESCO

External Shocks:

- Increased capacity of public and private sectors to manage, analyze and utilize data to protect the most vulnerable against external shocks such as financial crises and technological failure.

Pillar 5:

Outcome: Strengthened capacity for effective climate change mitigation and adaptation and environmental sustainability

Capacity:

- Climate sensitive development plans and policies supported and developed at national and sub national levels
- Targeted stakeholders enabled to access financing mechanisms to support climate change adaptation and mitigation in selected areas
- Policy/Legal/Institutional framework strengthened for implementation of major multilateral and bilateral environmental agreements and national commitments
- implementation of a stronger participatory natural resource management and climate resilience platform through private-public and multi stakeholder partnerships
- Government systems are supported to prevent and combat environmental crimes
- Implementation of sustainable urban Development and facilitation of Urban Development Management
- Resource Efficiency Sustainable Production promoted and facilitated through Multi sectoral capacity building & technology transfer
- Implementation of national response to education and health challenges posed by climate change supported.

Annex 2
UNPDF Signatory Organisations

FAO
ILO
IOM
UNAIDS
UNDP
UNEP
UNESCO
UN HABITAT
UNICEF
UNFPA
UNIDO
UNODC
UN Women (UNIFEM at the time of signing)
UNHCR
UN OCHA
UNOPS
WFP
WHO

Annex 3
STEERING COMMITTEE OF INDONESIA-UNPDF TRUST FUND
Terms of Reference

Composition:

The Steering Committee (SC) is co-Chaired by the BAPPENAS Deputy Minister for Development Funding Affairs, and the UN Resident Coordinator (RC). Members include three representatives of the UN Country Team, government representatives and may also include donors. The three representatives of the UN Country Team will be nominated by the UN Country Team on an annual rotating basis, and endorsed by the co-Chairs of the SC. Government representatives will be selected by the BAPPENAS co-Chair. Donor membership will be deliberated and together selected by the SC depending on the level of contribution of the donor. The Administrative Agent will be an ex-officio member of the Steering Committee.

Key Tasks and Responsibilities:

- To review and approve their Terms of Reference and the Rules of Procedure, and update and/or modify them, as necessary, in case of compelling requirements.
- For funds earmarked by donors to thematic areas and prioritized/allocated within thematic clusters, to review and ensure the alignment of the allocations with the UN Partnership for Development Framework (UNPDF) and National Medium Term Development Plan (RPJMN) as well as relevant national and local government priorities;
- For unearmarked funds, (1) review and approve the criteria for the allocation of available MDTF resources, based on the recommendations of the Technical Committee; (2) to allocate available resources to UNPDF outcomes and outputs.³
- To review and approve proposals from Agencies submitted (by thematic clusters/sectoral groups or otherwise) for funding; ensure their conformity with the requirements of the trust fund agreements (MoUs, TORs).
- To ensure the quality of proposals to receive funding from the MDTF.
- To discuss the trust fund requirements and priorities concerning, inter alia:
- Programme management, including consistent and common approaches to programme costing, cost recovery, implementation modalities, results-based reporting and impact assessment,
- information management including appropriate trust fund and trust fund donor visibility;
- To define roles and responsibilities and composition for the technical committee or other similar review bodies.
- To ensure appropriate consultative processes take place with key stakeholders at the country level so as to promote needs-responsiveness, avoid duplication or overlap between the trust fund and other funding mechanisms and to maximize synergies;
- To review and approve the periodic progress reports (programmatic and financial) consolidated by the Administrative Agent based on the progress reports submitted by the Participating Agencies. Consolidated annual reports should include a section on the activity of the Steering Committee.

³ The decision on the composition of the SC will be taken at country level. The RC and UN members of the Steering Committee will consult with participating UN Agencies on all relevant issues and the design/development of proposals for consideration by the Steering Committee will involve formal consultations with all relevant agencies.

- To ensure consistency in reporting between programmes;
- To review findings of the summary audit reports consolidated by the internal audit service of the Administrative Agent. To highlight lessons learnt and periodically discuss follow up by Participating Agencies on recommended actions that have trust fund-wide impact;
- To agree on the scope and frequency of the independent “lessons-learned and review” of the MFTF commissioned by the SC, in consultation with the HQ Fiduciary Management Oversight Group.
- To review the draft/final reports on lessons learnt, ensure the implementation of recommendations and identify critical issues for consideration by the HQs Fiduciary Management Oversight Group (to be brought up to the ASG Group, if/as required).
- To promote the use of harmonized procedures and policies in line with UNDG guidelines on Joint Programmes for reduced transaction cost and operational effectiveness;

Decisions:

- The Steering Committee makes decisions by consensus. Decisions of the Steering Committee shall be duly recorded.
- Prior to presenting their position on a significant issue to the SC, its UN members have to make sure that it is endorsed internally by their Agencies and is in line with their Agencies’ regulatory requirements.
- UN members of the SC should consult with the wider UNCT including the Participating UN Organizations’ on significant issues in order to represent the UNCT adequately in SC meetings, and ensure the UNCT is kept apprised of milestone developments.
- Decisions on programme proposals will only be taken upon completion of a review by Technical Committee, the full composition of which will be determined in accordance with the applicable provisions of the Fund ToR.

Role of the co-Chairs of the Steering Committee:

- To make sure that the decisions taken by the Steering Committee are in accordance with the regulatory requirements and frameworks of the Participating Agencies and agreements with Government of Indonesia and with donors;
- To ensure that the decisions taken by the Steering Committee are duly recorded and promptly communicated to the members of the Steering. Committee, including Participating Agencies, the programme country, and donors, as appropriate; To monitor the implementation of the decisions of the Steering Committee;
- To report to the MPTF Fiduciary Management Oversight Group on the evolving risks and to flag issues that may affect the implementation of the decisions of the Steering Committee or otherwise impede the operations of the Fund;
- The UN co-Chair, representing the SC, is accountable to the Chair of the MPTF Fiduciary Management Oversight Group, representing the Committee, for the trust fund activities

Annex 4
Indonesia-UNPDF Trust Fund Rules of Procedure
PCN and Proposal Submission and Approval

A) Step I: Agreement on Priority/Priorities to be supported

1. The Technical Committee, drawing on UN tools and processes already established for the effective implementation of the UNPDF, and on directions from the Participating UN Organizations', and supported by the Secretariat, reaches agreement on recommendations to be made to the Steering Committee vis-a-vis the strategic priorities under the outputs and outcomes of the UNPDF that are in need of attention, with corresponding geographical areas of focus, as appropriate. These recommendations are prioritised in order of importance/urgency of the needs as articulated by UN and government, and donor earmarking (if any). If funds have been earmarked by the donor for a particular UNPDF Outcome(s), the priorities and options recommended by the Technical Committee must fall within the earmarked outcome(s)
2. The list of prioritised UNPDF outcomes and outputs with corresponding areas of geographic attention is shared with the Steering Committee for their consideration.
3. The technical committee may also bring to the attention of the Steering Committee strategic opportunities (in particular those that may have been acknowledged by the Participating UN Organizations') that may be seized in order to accelerate progress towards UNPDF outcomes and outputs.
4. The Steering Committee convenes to assess the priorities vis-à-vis UNPDF outcomes and outputs and strategic opportunities that have been recommended by the Technical Committee, as well as donor priorities, and to reach agreement on the parameters of the programme(s) (e.g. areas of focus, goals, geographic regions) on which the funds available may be expended, and the ratio in which funds may be divided (if necessary) between the priorities identified (i.e. the number of joint programmes that will be developed to support all of the priorities identified).
5. Based on the mandates and existing capacities of UN agencies, funds and programmes in Indonesia, the RC and the three Participating UN Organizations' members on the Steering Committee together deliberate and reach agreement on the Participating UN Organisations (UN agencies, funds or programmes) that may be asked to prepare a PCN of a joint programme in support of the priorities identified. The RC and the three Steering Committee Participating UN Organizations' members will consult with the UN Country Team for the identification of the Participating UN Organisations
6. The Steering Committee issues a letter to the selected Participating UN organisations (with copy to the UN Country Team), requesting them to prepare PCN(s) in coordination with the Technical Committee. All agencies to be involved in the PCN will be clearly identified in the letter by the Steering Committee. At least two, and no more than four Participating UN Organisations will be identified per PCN.

7. The Steering Committee will request only one PCN per programme identified, with the Participating UN Organisations clearly stated.

B) Step 2: Programme Concept Note (PCN) Submission and Assessment

8. Between two and four Participating UN Organizations are invited by the Steering Committee to prepare a PCN, with clear directions on the programme parameters i.e. the overall objectives of the PCN and the components of the UNPDF it must aim to fulfil.

9. The Participating UN Organisations work together to develop a PCN in line with the priorities identified by the technical committee and endorsed by the Steering Committee. In addition, the Participating UN Organisations will ensure adequate consultation and partnership with national and/or local government in the PCN.

10. PCN is submitted to the Secretariat in accordance with the PCN template. Submission to the Secretariat implies confirmation that the UN Participating Organization(s) have taken the PCN through their respective internal clearance processes, and the submission must be accompanied by records of internal meetings indicating the PCN has been cleared internally. The PCN should also indicate which financing modality it is seeking and collaborating Implementing Agency/ies.

11. The Secretariat registers and administers the PCN submission and delivers a notice of receipt to the proposing UN Participating Organization/Implementing Agency and delivers the PCN(s) and submissions to all members of the Technical Committee at the latest 5 (five) working days following the receipt of the complete PCN.

12. The Technical Committee, assisted by the Secretariat, undertakes an assessment and evaluation of the proposed PCN(s).

13. The PCN(s) shall include information on the proposed activities, profiles of proposing UN Participating Organizations and/or Implementing Agencies, objective and scope of proposed programme, amount of annual funding requested and total funds for multi-year programmes, proposed Implementing Agencies, time schedule, clear output indicators, and monitoring and evaluation mechanisms.

14. PCN assessment criteria are as follows:

- a) PCN follows the prescribed format (Annex 5);
- b) The PCN includes clear scope, objective, output, and indicators;
- c) The programme strategy, objectives and outputs should be fully aligned to the programme parameters indicated by the Steering Committee and based on the UNPDF results matrix
- d) The proposed activity fills in the gap among activities which are being and will be performed, thus increasing synergies among the existing programmes;
- e) The PCN includes a realistic cost estimation;

- f) The proposed component is in accordance with trust fund MoU;
- g) The PCN includes a minimum of two and a maximum of four UN Participating Organisations
- h) The programme is compatible with the mandates and capacities of the UN Participating Organizations.
- i) The PCN demonstrates value for money and focus on impact as well as scalability.

C) Step 3: PCN Approval Process

- 15. The Technical Committee holds a meeting to discuss the PCN(s) at the latest 5 (five) working days following the receipt of PCN(s). If an expert is needed to perform the assessment, the Technical Committee may request the Secretariat to recruit the expert and submit the assessment directly to the Technical Committee. The cost of the expert is part of the Secretariat's cost.
- 16. If the PCN(s) is found to be inadequate, the Technical Committee engages in an iterative process with the Participating UN Organization(s) to improve the PCN(s) and ensure it is needs-responsive and fully in line with the UNPDF and government Development priorities
- 17. The Technical Committee submits the PCN(s) to the Steering Committee – indicating its recommendation for approval or rejection. This recommendation is also shared with the Participating UN Organisations at the same time.
- 18. The Steering Committee reviews the recommendations of the Technical Committee and takes a decision to approve or reject a PCN within 5 (five) working days.
- 19. Following the approval of a PCN by the Steering Committee, the Secretariat delivers:
 - a) A notice, at the latest 5 (five) working days following the meeting and the decision, to the Administrative Agent and Participating UN Organisation.
 - b) Rejected PCNs to the Technical Committee with the following notes: 'fully rejected' or 'to be revised'. In case the latter, the note will be accompanied with guidance on the required revision, and the PCN will then be resubmitted for discussion.
- 20. The decision of the Steering Committee is final.

D) Step 4: Prodoc Submission and Assessment Process:

- 21. Following PCN approval, the UN Participating Organizations, in cooperation with the Implementing Agency, if relevant, develop a Prodoc .

22. The time frame for the development of the Prodoc is adjusted according to the scope of the activity. The Steering Committee will indicate the period allocated for Prodoc development at the time of the PCN approval.
23. The Prodoc will be submitted to the Secretariat by the target timeline.
24. The Secretariat circulates the draft of the Prodoc to all members of the Technical Committee.
25. Prodoc draft assessment criteria are as follows:
 - a) Prodoc development is prepared using the approved Prodoc template (Annex 6);
 - b) The objective and scope are articulated and there is an analysis of the social and environmental impact;
 - c) Baseline data and clear and measurable outputs and indicators are provided in a log frame format;
 - d) Annual budget through the programme completion, including utilization of Implementing Agency funding (if applicable);
 - e) Coordination mechanism for collaboration with Implementing partners including supervision and monitoring;
 - f) Fund channelling mechanism to be used;
 - g) Procurement plan;
 - h) Reporting mechanism;
 - i) The prodoc maintains the salient features of the approved PCN
26. Each Prodoc must include sustainability principles and include an exit strategy. Such strategy involves measures whereby a programme – in due time – will transfer duty, authority, responsibility and resource to the community and the local government and/or the relevant government agencies, and will transfer knowledge of best practices/successes to the relevant national authorities for upscaling and application elsewhere.

E) Step 5: Prodoc Approval Process:

27. The Technical Committee holds a meeting to discuss the Prodoc draft at the latest 10 (ten) working days following the receipt of the draft from the secretariat. If an expert is needed to perform the assessment, the Technical Committee may request the Secretariat to recruit the expert and submit the assessment directly to the Technical Committee. The cost of the expert is part of the Secretariat's cost.
28. If necessary, the Technical Committee engages in an iterative process with the Participating UN Organisations to ensure the quality of the prodoc is satisfactory.
29. The Technical Committee, once satisfied with the quality of the prodoc, submits the Prodoc draft to the Steering Committee – indicating its recommendation for approval .

30. The Steering Committee will have the opportunity to provide any objections for 15 working days after receiving the prodoc. If no objections are received within 15 working days, the prodoc is assumed approved by the Steering Committee.
31. For a Prodoc that is approved by the Steering Committee, the Secretariat delivers:
 - a. A notice, at the latest 5 (five) working days following the meeting and the decision, to the Administrative Agent and Partner Agency
 - b. A letter to Bappenas Deputy for Development Funding for registration in the List of Priority External Loans and Grants (DRPPHLN). The request to register the proposal is performed by including List of Activity Implementation (DIPK) and Project Digest.
32. For a Prodoc which is not approved, the Steering Committee delivers a notice to the proposing agency through the Secretariat, including information on items which need to be corrected. The corrected draft is resubmitted to the Steering Committee to obtain approval. The revision of the draft is performed within five working days.
33. The decision of the Steering Committee is final.

F) Step 6: Signing

34. The approved Prodoc is signed by the relevant Heads of the submitting UN Participating Organizations and the Co-Chairs of the Steering Committee.

Annex 5
Programme Concept Note (PCN) Outline

1. **Programme Title**
2. **Submitting UN Participating Organization Information:** name, address, phone number, mobile number, email address of people from the UN Participating Organization(s), as well as the name of expected Implementing Agency(s).
3. **Goal and Objective of the Programme:** in one or two sentences, state the overall benefit or change this programme aims to achieve.
4. **Relevance of the programme concept:** this section should convincingly document why this programme is fulfilling a critical gap or solving a critical problem in the implementation of the UNPDF. Suggested information include:
 - a. What the current state is, and how this programme aims to improve that current state, and to what aim;
 - b. Why this is the most appropriate forum to implement these activities and it has not been solved by other parties;
 - c. A table describing all the other players in the sector, and how this programme complements the other initiatives.
 - d. If this is an existing programme, evidence from an independent evaluation that the programme has achieved good results and outcomes.
5. **Programme Description:** the purpose of this section is not for a detailed programme plan, but to give the Steering Committee a comprehensive set of information to understand the scope of the programme and its activities and who will be doing what. At the minimum, the programme description should contain the following information:
 - a. Description of all programme components and how they interact to reach the programme objective;
 - b. Location(s) of each component;
 - c. Targeted beneficiary(s) of each component;
 - d. Time duration of each component;
 - e. Expected results and outcomes of each component;
 - f. Implementation arrangements for each component – in general terms, describe who is expected to be responsible for what aspect of the activity – this will be further elaborated during appraisal;

- g. Programme Management Team: expected staffing required to manage the programme – to be further elaborated during appraisal;
 - h. Environmental and Social Considerations – in general terms, describe expected environmental and social impacts of the programme. Further safeguards assessments needs to be elaborated during appraisal.
 - i. Prioritizing vulnerable groups – women, children and the poor: state how this programme will promote the participation of women, both in its activities but also to ensure that they are prioritized as beneficiaries if appropriate.
 - j. Community participation and involvement:
 - i. Describe the extent to which the activities of this programme have been driven by the community, if appropriate. Where the programme is not community driven, indicate why this is the case.
 - ii. Identify the elements of the programme (if any) where community participation is essential, and how the programme will facilitate that consultative process.
 - k. Funding Plan and Budget
6. **Sustainability, exit strategy and Capacity Building:** this section should describe how the programme will work towards making its activities, outputs and outcomes sustainable in the short term, medium term and long term. Elements may include:
- a. Institutional sustainability;
 - b. Operating and maintenance costs;
 - c. Asset management (including ownership transfer);
 - d. Training and capacity building;
 - e. Human resources planning.
7. **Implementing Agency – Background and Experience:** in one or two paragraphs, show why the designated UN Participating Organization(s) and Implementing Agency(s) are the most appropriate organization to implement this programme. For example, what are the comparative advantages and capacities in implementing all the activities of this programme? Where relevant, identify areas where capacity is weak and how the organization will strengthen this capacity.
8. **Risks and Dependencies:** in one or two paragraphs, describe the broad risks and dependencies for the success of this programme. For example, what are the critical factors for success, and what are the common pitfalls for failure?

During appraisal, a more comprehensive risk assessment should be conducted, as well as a strategy for the mitigation of those risks.

9. **Alignment with the UNPDF, National Priorities and strategic opportunities:** in one or two paragraphs, indicate how this programme concept is aligned with, and supports, the UNPDF, RPJMN and national/regional development.
10. **Consultation processes:** in one or two paragraphs, describe how the consultation process conducted between UN Participating Organization and potential Implementing Agency.

Annex 6
Prodoc Template

Cover Page

Country: _____

Programme Title:

Joint Programme

Outcome(s): _____

(where different from the UNPDF)

Programme Duration: _____ Anticipated start/end dates: _____ Fund Management Option(s): _____ (Parallel, pooled, pass-through, combination) Managing or Administrative Agent: _____ (if/as applicable)

Total estimated budget*: _____ Out of which: 1. Funded Budget: _____ 2. Unfunded budget: _____ * Total estimated budget includes both programme costs and indirect support costs
--

Sources of funded budget: <ul style="list-style-type: none"> • Government _____ • UN Org.... _____ • UN Org... _____ • Donor ... _____ • Donor ... _____ • NGO... _____
--

Names and signatures of (sub) national counterparts and participating UN organizations

Adequate signature space should be provided in order to accommodate name (person), title (head), organization name/seal of all participating UN organizations and national coordinating authorities, as well as date of signature.

This joint programme document should be signed by the relevant national coordinating authorities. By signing this joint programme document, all signatories – national coordinating authorities and UN organizations - assume full responsibility to achieve results identified with each of them as shown in Table 1 and detailed in annual work plans. . For regional and global joint programmes, endorsement or signatures of participating countries (at least three, if there are more than three countries) are required.

UN organizations	National Coordinating Authorities
Replace with: <i>Name of Representative</i> <i>Signature</i> <i>Name of Organization</i> <i>Date & Seal</i>	Replace with: <i>Name of Head of Partner</i> <i>Signature</i> <i>Name of Institution</i> <i>Date & Seal</i>
Replace with: <i>Name of Representative</i> <i>Signature</i>	Replace with: <i>Name of Head of Partner</i> <i>Signature</i>

<i>Name of Organization Date & Seal</i>	<i>Name of Institution Date & Seal</i>
Replace with: <i>Name of Representative Signature Name of Organization Date & Seal</i>	Replace with: <i>Name of Head of Partner Signature Name of Institution Date & Seal</i>

Joint Programme Document Outline

A joint programme document enables UN organizations (including specialized and non-resident agencies)⁴ and implementing partners to implement harmonized, results focused joint programmes with a minimum of documentation. A standard joint programme document should include the following sections:

1. Cover Page - **one page**
2. Executive summary – **one page**
3. Situation analysis – **one to two pages**
4. Strategies including lessons learned and the proposed joint programme– **two pages**
5. Results framework – **two to three pages**
6. Management and coordination arrangements – **two pages**
7. Fund management arrangements – **one page**
8. Monitoring, evaluation and reporting – **two pages**
9. Legal context or basis of relationship – **one page**
10. Work plans and budgets - **two to three pages**

A brief description of the expected content for each of these sections is provided below.

1. Cover Page (One page)

The cover page contains the joint programme outcome(s), total estimated budget, funded and unfunded components, sources of funding and signatures of national coordinating authorities(s) and participating UN organizations.

2. Executive Summary (One page)

The executive summary contains a comprehensive summary of all sections focusing on the significance and relevance of the joint programme, its contribution to national priorities and international commitments, the results expected to be achieved, intended beneficiaries, donors and implementing partners.

3. Situation Analysis (One to two pages)

This section provides a brief evidence-based causality analysis which may be obtained from the Common Country Assessment, the national development framework, and the UN Partnership for Development Framework (UNPDF). It outlines the economic, social, political, environmental and institutional context of the joint programme. It identifies the development or human rights challenges to be addressed; provides specific, current and disaggregated data on these challenges, key causal factors, and the interventions that are necessary and sufficient for the achievement of the planned results. This is to be

⁴ Each UN organization participating and signing this joint programme document will be party to the existing UNPDF framework, which the programme is addressing. The Organization will operate on the basis of its legal agreement with government.

supplemented with references to the identified baselines presented in the Joint Programme Monitoring Framework in Section 8, relevant recent research reports and/or reports and recommendations of international and regional treaty bodies and supervisory committees.

4. Strategies, including lessons learned and the proposed joint programme (Two pages)

The subsections to be covered include:

Background/context: The intention of this sub-section is to describe how the joint programme will contribute through the UNPDF to the achievement of national priorities and international commitments, including MD/MDGs and humanitarian obligations, among others. It should also identify other outputs and stakeholders contributing to the achievement of the respective UNPDF outcomes. It specifies the relevant stakeholders not involved in this joint programme: UN organizations, government, non-government institutions, and donor organizations active in the area relevant to the joint programme.

Lessons Learned: This sub-section provides a summary of relevant lessons learned from experiences, opportunities and challenges which may support or constrain achievement of results. Statements of agreed lessons are particularly important where there is a significant departure from previous programmes or strategies. This sub-section should also indicate how recommendations and observations of Human Rights treaty bodies to the respective State Party have been considered and used in the design of the joint programme.

The proposed joint programme: This sub-section provides a justification on why a joint programme approach was chosen. It outlines the specific programme strategies adopted to achieve agreed outcomes, taking into consideration the lessons learned. It focuses on how the strategies address the key causes of the problems which have been identified, and the partners involved in each phase. It includes details on the intended manner in which the programme should unfold in its various phases. It provides a brief description of the division of labor between the UN partners, the added value of each to the intended joint programme outcomes, and the participating UN organizations capacity to deliver agreed outputs. The proposed joint programme strategy should confirm that the capacities necessary for the implementation were carefully considered and that the selected implementing partners have the capacity to achieve the intended results.

This section should also include a prior assessment of key cross-cutting concerns such as: human rights (in particular the key duty bearers and rights holders involved in the issue the joint programme is addressing and their capacity gaps which the joint programme will address); gender equality (the critical gender concerns that are relevant to the issue being addressed in the joint programme and how the joint programme would address these concerns); the key environmental issues that are relevant in this case and how the joint programme will address them; assessment of capacity gaps of key institutions and partners that the joint programme will work with and the capacity development strategies that will be adopted for the purpose. Depending on the subject covered, this section may also include other types of ex-ante analyses, for example themes such as education, health, agriculture.

Sustainability of results: State how the results will be sustained including relevant capacities being developed among duty bearers and rights holders and government institutions and communities.

5. Results Framework (two to three pages)

This section will contain a brief narrative and the results framework. The narrative should briefly outline the logic of the results chain. The joint programme outcomes/outputs should directly contribute to the UNPDF outcome(s) and outputs.

The Results Framework sub-section will contain a hierarchy of UNPDF outcomes, joint programme outcomes (if different from UNPDF outcome) and joint programme outputs, indicators, baselines and targets. As a minimum, this hierarchy should be presented in the format shown in Table 1 “Results Framework”. The column entitled “Participating UN organization corporate priority” will provide the linkage of this joint programme to UN organizations’ corporate priorities and mandates. The results will be articulated in more detail in (annual) work plans and budgets. Please refer to the Section 10 for details of how these work plans should be prepared.

Table 1: Results Framework

UNPDF Outcome										
Joint Programme Outcome (if different from UNPDF Outcome) , including corresponding indicators and baselines,										
JP Outputs (Give corresponding indicators and baselines)	Participating UN organization-specific Outputs	Participating UN organization ⁵	Participating UN organization corporate priority	Implementing Partner	Indicative activities for each Output	Resource allocation and indicative time frame*				
						Y1	Y2	Y3	Y4	Total
UN organization 1	Programme Cost **									
	Indirect Support Cost**									
UN organization 2	Programme Cost									
	Indirect Support Cost									
UN organization 3	Programme Cost									
	Indirect Support Cost									
Total	Programme Cost									
	Indirect Support Cost									

*Resource allocation may be agreed at either output or indicative activity level.

** Please read the [Explanatory Note on Harmonized Financial Reporting to Donors](#) and its Annexes for guidance on how these terms should be interpreted

⁵ In cases of joint programmes using pooled fund management modalities, the Managing Agent is responsible/accountable for achieving all shared joint programme outputs. However, those participating UN organizations that have specific direct interest in a given joint programme output, and may be associated with the Managing Agent during the implementation, for example in reviews and agreed technical inputs, will also be indicated in this column.

6. Management and Coordination Arrangements (Two pages)

This section elaborates the programme planning and management responsibilities and commitments of partners and participating UN organizations. This joint programme document does not substitute for organization-specific arrangements required by respective internal policies. The management aspects of the different funding modalities (pooled, parallel or pass through) are detailed under section 7.

This section should also describe the arrangements for coordination and oversight, identifying individual participating UN organizations and national partners responsible as applicable. As specified in the [UNDG Guidance Note on Joint Programming](#), “Once the joint programme has been developed and agreed jointly by the participating UN organizations, the arrangements for monitoring, review, and coordination should be documented. The composition of the joint programme coordination mechanism (referred to in the standard agreements as Joint Programme Steering Committee) shall include all the signatories to the joint programme document. The coordination mechanism may also have other members”. Linkages to the existing coordination mechanisms, such as thematic groups, etc, should also be specified.

A list of implementation Focal Points should be developed and made available to the Joint Programme Steering Committee and other stakeholders. This is to be presented as an Annex to the joint programme document.

7. Fund Management Arrangements (One page)

There are three fund management options for joint programmes: a) parallel, b) pooled, and c) pass-through. This section should clearly specify the fund management option(s) being used. Under the parallel funding modality, whereby each organization funds and implements its activities in parallel with other participating organization(s), one organization should be responsible for consolidated reporting as agreed upon by the JP Steering Committee. The organization so identified should be stated in this section; any costs incurred by the assigned organization should be reflected in the joint programme budget as the organization’s direct costs. If a pooled funding modality is decided upon, this section will state the Managing Agent. If pass-through fund management option is used, this section should state the appointed Administrative Agent.

These options can also be combined. For example, participating UN organizations might decide to pool funds under a Managing Agent for those parts of a joint programme to be managed jointly, while other parts of the joint programme would be managed through parallel funding, within the overall framework of the joint programme. In the case of joint programmes using combined fund management option, the Steering Committee will decide which participating UN organization will prepare the consolidated report.

The decision to select one or a combination of fund management options for a joint programme should be based on how to achieve the most effective, efficient and timely implementation, and to reduce transaction costs for national partners, donors and the UN.

The fund management options mentioned above and the templates of instruments have been approved by all UNDG members. Their use in operationalizing joint programmes without alterations does not require further approvals from headquarters. Participating UN Organizations therefore must endeavour to use the standard instruments. If for any reason the standard instruments cannot be used, HQ has to be consulted on alternative options.

The instruments and operational details on each of the fund management options can be found in the [Guidance Note on Joint Programming](#).

Transfer of cash to national Implementing Partners: This sub-section should specify the details of the agreed arrangement for transfer of cash to implementing partners.

Cash transfer modalities, the size and frequency of disbursements, and the scope and frequency of monitoring, reporting, assurance and audit will be agreed prior to programme implementation, taking into consideration the capacity of implementing partners, and can be adjusted in its course in accordance with applicable policies, processes and procedures of the participating UN organizations. For the ExCom agencies, the provisions required under the [Harmonized Approach to Cash Transfers](#) (HACT) as detailed in their CPAPs or in other agreements covering cash transfers will apply.

8. Monitoring, Evaluation and Reporting (Two pages)

Monitoring: The content of Table 2 “Joint Programme Monitoring Framework (JPMF)” should summarize monitoring arrangements for the joint programme, including monitoring activities that the participating UN organizations and/or national partners will undertake (such as baseline collection, reviews or studies if necessary to measure effect/impact, field visits, evaluation etc.), the timing of such activities and the respective responsibilities.

The Table 2 should be consistent with the UNPDF and be an integral part of the broader UNPDF M&E Framework.

Table 2: Joint Programme Monitoring Framework (JPMF)

Expected Results (Outcomes & outputs)	Indicators (with baselines & indicative timeframe)	Means of verification	Collection methods (with indicative time frame & frequency)	Responsibilities	Risks & assumptions
From Results Framework (Table 1)	From Results Framework (Table 1) Baselines are a measure of the indicator at the start of the joint programme	From identified data and information sources	How is it to be obtained?	Specific responsibilities of participating UN organizations (including in case of shared results)	Summary of assumptions and risks for each result

Annual/Regular reviews: This sub-section states arrangements and clear responsibilities for conducting regular reviews, including annual reviews where applicable. Review of joint programme may also form part of UNPDF annual review.

Evaluation: This sub-section states the arrangements for, responsibility and timing of evaluation(s) of the joint programme. It should also state how the results of the evaluation(s) will be used by relevant stakeholders.

It should further state how the risks and assumptions identified in Table 2 will be managed to achieve the agreed joint programme results. These should at a minimum be reviewed at the annual/regular reviews and revised as appropriate.

Reporting: This sub-section should set out arrangements for common reporting on the joint programme results. A common reporting format should be adopted by all participating UN organizations⁶.

9. Legal Context or Basis of Relationship (One page)

This section specifies what cooperation or assistance agreements⁷ form the legal basis for the relationships between the Government and each of the UN organizations participating⁸ in this joint programme.

For the ExCom Agencies, these are standing cooperation arrangements. For the specialized Agencies, these should be the text that is normally used in their programme documents or any other applicable legal instruments.

The text specific to each participating UN organization should be cleared by the respective UN organization.

Table 3 below provides illustrative examples on various UN organizations' cooperation arrangements.

Table 3: Basis of Relationship (illustrative examples)

Participating UN organization	Agreement
UNDP	This Joint Programme Document shall be the instrument referred to as the Programme Document in Article I of the Standard Basic Assistance Agreement between the Government of [NAME] and the United Nations Development Programme, signed by the parties on [DATE].
UNIDO	UNIDO Office was established in accordance with the Agreement between the Government of [NAME] and [MOFCOM]. The Office as established in [YEAR].
FAO	The Food and Agriculture Organization of the United Nations and the Government of [NAME] signed agreement for the establishment of the FAO Representation in [COUNTRY] on [DATE].
UNESCAP-UNAPCAEM	The United Nations Asian and Pacific Centre for Agricultural Engineering and Machinery (UNAPCAEM) is a subsidiary body/regional institution of the United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP), based [COUNTRY]. Following the host country headquarters agreement signed between the Government of [COUNTRY] and the United Nations on [DATE]. UNAPCAEM began its operations in 2004.

⁶ The [Standard Progress Report](#) used by the ExCom agencies or any other reporting format used by any other UN organization may be adapted for the purpose. Donor requirements should also be kept in mind. The reporting format should be approved by the joint programme steering committee.

⁷ Such as: the Basic Cooperation Agreement for UNICEF; Standard Basic Assistance Agreement for UNDP, which also applies to UNFPA; the Basic Agreement for WFP; as well as the Country Programme Action Plan(s) where they exist; and other applicable agreements for other participating UN organizations.

⁸ Including Specialized Agencies and Non Resident Agencies participating in the Joint Programme

The Implementing Partners/Executing Agency⁹ agree to undertake all reasonable efforts to ensure that none of the funds received pursuant to this Joint Programme are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by Participating UN organizations do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this programme document.

10. Work plans and budgets (Two to three pages)

The work plans will detail the activities to be carried out within the joint programme and the responsible implementing partners, timeframes and planned inputs from the participating UN organizations. The basis for all resource transfers to an implementing partner should be detailed in the work plans, agreed between the implementing partners and participating UN organizations. According to the Harmonized Approach to Cash Transfers (HACT), the work plan should be signed by the implementing partners receiving cash (except NGOs and CSOs). In case the implementation authority is delegated to a national/sub-national institution, the respective institution should be specified in the AWP. When partnering with NGOs CSOs, the participating UN organizations sign legal instruments in accordance with their procedures. Any additional management arrangements that may be set up by participating UN organizations to achieve results under their respective responsibility may be detailed in annexes as needed.

A revised work plan and budget will be produced subsequent to the decisions of the annual/regular reviews. The new work plan is approved in writing by the joint programme Steering Committee. The joint programme document need not be signed after each periodic review as long as there is written approval of it by all partners at, or following the annual/regular review. However, any substantive change in the joint programme scope or change in financial allocations will require revision of the joint programme document and signature of all parties involved.

The work plan should be attached as an Annex to the joint programme document and should follow the format represented in the table below.

**Work Plan for: (Insert name of the Joint Programme)
WP) ¹⁰ _____**

Period (Covered by the

⁹ Executing Agency in case of UNDP in countries with no signed Country Programme Action Plans

¹⁰ Annual Work plans cover not more than a 12-month period. However, usually at the start-up of the programme, these may cover less than one year. In both cases, the corresponding period should be specified.

JP Outcome										
UN organization-specific Annual targets	UN organization	Activities	TIME FRAME				Implementing Partner	PLANNED BUDGET		
			Q1	Q2	Q3	Q4		Source of Funds	Budget Description	Amount
JP Output 1:										
(of UN organization 1)										
(of UN organization 2)										
(of UN organization 3)										
JP Output 2:										
(of UN organization 1)										
(of UN organization 2)										
Total Planned Budget										
Including*	Total UN organization 1									
	Total UN organization 2									
	Total UN organization 3									

* The Total Planned Budget by UN Organization should include both programme cost and indirect support cost

Signatures¹¹:

UN organization(s)	Implementing Partner(s)
Replace with: <i>Name of Representative</i> <i>Signature</i> <i>Name of Organization</i> <i>Date</i>	Replace with: <i>Name of Head of Partner</i> <i>Signature</i> <i>Name of Institution</i> <i>Date</i>

¹¹ When CSOs/NGOs are designated Implementing Partners, they do not sign this Work Plan. Each participating UN Organization will follow its own procedures in signing Work Plans with CSOs/NGOs.